



University of North Texas System

Board of Regents

Schedule of Events for Board of Regents Meeting

August 17-18, 2017

University of North Texas Health Science Center
Medical Education and Training Building, Room 109/111
1000 Montgomery St.
Ft. Worth, Texas

The University of North Texas System Board of Regents will meet on Thursday, August 17, 2017, from 8:30 am until approximately 5:00 pm and on Friday, August 18, 2017, from 9:00 am until approximately 12:00 pm.

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

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

Meetings will take place at the Medical Education and Training building at the UNT Health Science Center. Please contact the Office of the Board Secretary with any questions at 214.752.5545.

Thursday, August 17, 2017

8:30 am CONVENE FULL BOARD

Recess Board to Executive Session Pursuant to Texas Government Code Chapter 551*

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

- Discussion of matters related to the search to fill the position of Chancellor, UNT System, including the possible naming of one or more finalists, and appropriate action

- Consideration of individual personnel matters related to the appointment, employment, evaluation, reassignment, discipline and dismissal of System and Institution officers or employees

9:00 am RECONVENE FULL BOARD IN OPEN SESSION

ELECTION OF OFFICERS OF THE BOARD OF REGENTS

CHANCELLOR’S REMARKS

- Our Campuses
- Talented Teams, Customer Service Improvements
- Our Students

HOST PRESIDENT’S REMARKS

- UNT System College of Pharmacy
- Collaborative Partnerships
- New Philanthropy

Recess Full Board to Strategic and Operational Excellence Committee.

9:30 am STRATEGIC AND OPERATIONAL EXCELLENCE COMMITTEE

Call to Order

- Approval of minutes of May 18, 2017 meeting

Briefing:

UNT System Administration and Institutional Strategic Plans Review – materials added 08.15.17

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

Update on the Employee Engagement Initiative

- Luis Lewin, UNT System, Associate Vice Chancellor for Human Resources
- Steve Sosland, UNTHSC, Chief People Officer

BACKGROUND MATERIAL

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

Adjourn Strategic & Operational Excellence Committee.

10:30 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Call to Order

- Approval of minutes of May 18-19, 2017 meeting

Briefings:

UNT System College of Pharmacy– Addressing Unmet Health Needs

- Charles Taylor, UNTHSC, Dean of UNT System College of Pharmacy

Introduction of UNT College of Education Dean

- Jennifer Cowley, UNT, Provost
- Randy Bomer, UNT, Dean of the College of Education

BACKGROUND MATERIAL

- Quarterly Academic Measures Report

Recess Academic Affairs and Student Success Committee.

11:00 am AUDIT COMMITTEE

Call to Order

- Approval of minutes of May 18-19, 2017, and July 31, 2017 meeting

Action Item:

- 8. UNTS Approval of FY18 UNT System Internal Audit Plan
- 9. UNTS FY18 UNT System Compliance Risk Assessment and Work Plan

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, March 2017 through May 2017

Adjourn Audit Committee.

12:00 pm LUNCH

1:00 pm FINANCE AND FACILITIES COMMITTEE

Call to Order

- Approval of minutes of May 18-19, 2017 meeting

Briefings:

Optional Retirement Program (ORP) Improvements

- Christopher DeClerk, UNTS, Assistant Vice Chancellor of Total Rewards
- Barry Schmitt, CAPTRUST, Senior Vice President, Financial Advisor
- John Pickett, CAPTRUST, Senior Vice President, Financial Advisor

Consolidated Financial Ratios and Debt Measures

- James Mauldin, UNTS, Associate Vice Chancellor for Treasury and Reporting

Quarterly Operations Report and Budget to Actual Review

- Janet Waldron, UNTS, Vice Chancellor for Finance

Action Items

- 12. UNTS Approval of the FY18 UNT System Consolidated Budget – *presentation materials added 08.15.17*
- 13. UNTS Approval of UNTS FY18 Capital Improvement Plan and Amending the FY17 Capital Improvement Plan – *presentation materials revised 08.15.17*

BACKGROUND MATERIAL

- Quarterly Operations Report

Recess Finance and Facilities Committee.

3:00 pm CONVENE FULL BOARD AND RECESS TO EXECUTIVE SESSION (Room 300)

Government Code, Chapter 551, Section .072 - Deliberations Regarding the Purchase, Exchange, Lease or Value of Real Property – **Action is anticipated on both real estate items described in this section**

- Authorization to acquire by purchase or eminent domain, if necessary, the property and improvements described as being all that certain tract or parcel of land, commonly known and numbered as 1001 North Texas Blvd., Denton, Denton County, Texas, being more particularly described as follows:

BEING Lot 28 and part of Lot 27, Foxhunt Addition, an Addition to the City of Denton, Denton County, Texas, according to the Plat thereof recorded in Volume 292, Page 618, Deed Records, Denton County, Texas, and being more particularly described by metes and bounds as follows:

BEGINNING at a 1 & 1/2 inch iron pipe found for corner at the intersection of the East Right of Way line of Avenue “D” (a 50’ ROW) and the South Right of Way line of Wilshire Lane (a 50’ ROW), said iron pipe being at the northwest corner of said Lot 28;

THENCE North 89 degrees 35 minutes 07 sections East following the South ROW line of said Wilshire Lane a distance of 137.46 feet to a “X” cut set in concrete for corner at the northeast corner of said Lot 29 which a “X” cut found bears North 15 degrees 42 minutes West a distance of 0.65 feet;

THENCE South 0 degrees 05 minutes 00 seconds East passing at 96.95 feet the most northerly northwest corner of Lot 27A, Foxhunt Addition as recorded in Volume Cab G, Page 143, Plat Records, Denton County, Texas, continuing in all a distance of 182.37 feet to a 1/2 inch iron rod set for corner;

THENCE North 64 degrees 55 minutes 00 seconds West following the north line of said Lot 27A a distance of 151.87 feet to a 1/2 inch iron rod set for corner in the East ROW line of said Avenue "D";

THENCE North 0 degrees 05 minutes 00 seconds West following the East ROW line of said Avenue "D" a distance of 116.99 feet to the POINT OF BEGINNING and containing 20,574 square feet or 0.472 acres of land.

SAVE AND EXCEPT that portion of the property conveyed to, or taken by the State of Texas or the Texas Department of Transportation, known and numbered as Parcel 122, being more particularly described as follows:

Parcel 122

BEING 2,322 square feet of land, more or less, in the Eugene Puchalski Survey, Abstract No. 996, City of Denton, Denton County, Texas, and being a portion of Lots 27 and 28 of Foxhunt Addition, an addition to the City of Denton, Denton County, Texas as recorded in Volume 292, Page 618 of the Deed records, Denton County, Texas (D.R.D.C.T.), also being a portion of a tract of land as described in instrument to Andy's Pancakes Realty Company as recorded in Volume 3426. Page 697 D.R.D.C.T., said 2,322 square feet of land being more particularly described as follows:

COMMENCING at an 1/2 inch iron rod found at the northeast corner of said Lot 28, said point being on the southerly right-of-way line of Wilshire Lane, a variable width right-of-way, no deed of record found;

THENCE South 89 degrees 31 minutes 44 seconds West, along the southerly right-of-way line of said Wilshire Lane and the northerly line of said Lot 28, a distance of 121.60 feet to a PK nail set on the new easterly right-of-way line of North Texas Boulevard and being the POINT OF BEGINNING at Station 1990+43.97, 360.73 feet Right, and having a Texas State Plane Coordinate System, N.A.D.83, North Central Zone (4202), surface coordinate of North 7,125,292.81, East 2,380,888.19 and being the beginning of a non-tangent curve to the right having a radius of 435.00 feet; **

- 1) THENCE along the new easterly right-of-way line of North Texas Boulevard and said curve to the right having a central angle of 16 degrees 40 minutes 08 seconds, an arc distance of 126.55 feet and being subtended by a chord which bears South 00 degrees 32 minutes 06 seconds East a distance of 126.11 feet to a 5/8 inch iron rod set with Texas Department of Transportation (TxDot) 3-1/4 inch aluminum cap on a northerly line of Lot 27A of the Foxhunt Addition, an addition to the City of Denton as recorded in Cabinet G, Page 143 of the Plat Records, Denton County, Texas (P.R.D.C.T.);
- 2) THENCE North 65 degrees 25 minutes 07 seconds West. along the northerly line of said Lot 27A, a distance of 17.40 feet to a point for corner on the easterly right-of-way line of North Texas Boulevard, a variable width right-of-way, no deed of record found;

- 3) THENCE North 00 degrees 35 minutes 07 seconds West, along the easterly right-of-way line of North Texas Boulevard, a distance of 118.74 feet to a point for corner at the northwest corner of said Lot 28, said corner being on the southerly right-of-way line of the aforementioned Wilshire Lane;
- 4) THENCE North 89 degrees 31 minutes 44 seconds East along the southerly right-of-way line of said Wilshire Lane and the northerly line of said Lot 28 a distance of 15.86 feet to the POINT OF BEGINNING and containing 2,322 square feet (0.0533 acres) of land, more or less.

** The monument described and set in this call, if destroyed during construction, may be replaced with a TxDOT Type II Right of Way Marker upon completion of the highway construction project under the supervision of a Registered Professional Land Surveyor, either employed or retained by TxDOT.

All bearings are based on the Texas State Plane Coordinate System, N.A.D. 83, North Central Zone. All coordinates shown are surface and may be converted to grid by dividing by the TxDOT conversion factor of 1.000150630.

- Authorization to acquire by purchase or eminent domain, if necessary, the property and improvements described as being all that certain tract or parcel of land, commonly known and numbered as 1600 North I-35E, Denton, Denton County, Texas, being more particularly described as follows:

Being a tract or parcel of land lying in the City of Denton, Denton County, Texas and being part of Lot 27 of the Foxhunt Addition, an addition to the City of Denton, Texas per map plat recorded in Volume 292, Page 618, Map Records, Denton County, Texas; said tract or parcel of land being more particularly described by metes and bounds as follows:

BEGINNING at the intersecting point of the West R.O.W. line of Kendolph Drive with the North R.O.W. line of Interstate Highway No. 35-E;

THENCE Northwesterly, along the North R.O.W. line of Interstate Highway No. 35-E, being a 0.45° curve to the left, having a chord bearing of N 64°55' W, a distance of 132.6 feet to the end of said curve and continuing N 64°55' W, a distance of 18.6 feet to the S. E. corner of a tract of land known as the Humble Oil and Refining Company Tract, being point for corner;

THENCE N 00°05' W, along the East line of said Humble Tract, a distance of 75.31 feet to a point of angle to the right continuing N 25°11'35" E, a distance of 45.41 feet to the N.E. corner of said Humble Tract, being point for corner;

THENCE N 64°55' W, along the North line of said Humble Tract, a distance of 171.0 feet to the East R.O.W. line of Avenue D, a point for corner;

THENCE N 00°05' W, along the East R.O.W. line of Avenue D, a distance of 33.31 feet to a point for corner;

THENCE S 64°55' E, along a line parallel to and 30.0 feet, at right angle, from the North line of said Humble Tract, a distance of 151.7 feet to a point for corner;

THENCE N 00°05' W, a distance of 82.5 feet to the South line of Lot 27A and to the North line of Lot 27, being a point for corner;

THENCE S 89°51'35" E, along the South line of Lot 27A and the North line of Lot 27, a distance of 135.5 feet to the West R.O.W. line of Kendolph Drive, being a point for corner;

THENCE S 00°00'05" E, along the West R.O.W. line of Kendolph Drive, a distance of 304.17 feet to Place of Beginning and containing 40,199.035 square feet or 0.8853 acre of land.

SAVE AND EXCEPT that portion of the property conveyed to, or taken by the State of Texas or the Texas Department of Transportation, known and numbered as Parcel 120, Parts 1 and 2, being more particularly described as follows:

Parcel 120, Part 1:

BEING 11,238 square feet of land, more or less, in the Eugene Puchalski Survey, Abstract No. 996, City of Denton, Denton County, Texas, and being a portion of Lot 27A of the Foxhunt Addition, an addition to the City of Denton as recorded in Cabinet G, Page 143, of the Plat Records, Denton County, Texas (P.R.D.C.T.) and being a portion of a tract of land as described in instrument to Franchise Realty Interstate Corporation as recorded in Volume 674, Page 597 of the Deed Records, Denton County, Texas (D.R.D.C.T.), said 11,238 square feet of land being more particularly described as follows:

COMMENCING at an X cut found at an interior corner of said Lot 27A;

THENCE South 24 degrees 44 minutes 50 seconds West, along a westerly line of said Lot 27A, a distance of 39.24 feet to a 5/8 inch iron rod set with Texas Department of Transportation (TxDot) 3-1/4 inch aluminum cap on the new northeasterly right-of-way line of Interstate Highway 35E and being the POINT OF BEGINNING at Station 1988+ 29.24, 174.00 feet Right, and having a Texas State Plane Coordinate System, N.A.D.83, North Central Zone (4202), surface coordinate of North 7,125,034.03, East 2,381,012.97 and being the beginning of a non-tangent right having a central angle of 01 degree 05 minutes 37 seconds, a radius of 7,813.80 feet and being subtended by a chord which bears South 65 degrees 05 minutes 11 seconds East a distance of 149.14 feet; **

l) THENCE along the new northeasterly right-of-way line of Interstate Highway 35E and said curve to the right an arc distance of 149.14 feet to a 5/8 inch iron rod set with Texas Department of Transportation (TxDot) 3-1/4 inch aluminum cap on the westerly rights of way line of Kendolph Drive, a 60.0 foot wide right-of-way, as established by instrument recorded in Volume 292, Page 621 (D.R.D.C.T.); **

2) THENCE South 00 degrees 26 minutes 01 second East, along the westerly right-of-way line of Kendolph Drive, a distance of 82.30 feet to a point for corner on the existing northeasterly right-of-way line of Interstate Highway 35E as established by a tract of land conveyed by deed to the State of Texas as recorded in Condemnation Case No. 4150 and being the beginning of a non-tangent curve to the left having a central angle of 00 degrees 59 minutes 36 seconds, a radius of 7,702.00 feet and being subtended by a chord which bears North 64 degrees 49 minutes 41 seconds West a distance of 133.51 feet;

3) THENCE along the existing northeasterly right-of-way line of Interstate Highway 35E an arc distance of 133.51 feet to a point for corner at the end of said curve;

4) THENCE North 65 degrees 19 minutes 29 seconds West, along the existing northeasterly right-of-way line of Interstate Highway 35E, a distance of 18.39 feet to a point for corner at the southwest corner of the aforementioned Lot 27A;

5) THENCE North 00 degrees 33 minutes 46 seconds West, along a westerly line of said Lot 27A, a distance of 75.46 feet to a point for corner;

6) THENCE North 24 degrees 44 minutes 50 seconds East, along a westerly line of said Lot 27A, a distance of 5.73 feet to the POINT OF BEGINNING and containing 11,238 square feet (0.2580 acres) of land, more or less.

** The monument described and set in this call, if destroyed during construction, may be replaced with a TxDOT Type II Right of Way Marker upon completion of the highway construction project under the supervision of a Registered Professional Land Surveyor, either employed or retained by TxDOT.

All bearings are based on the Texas State Plane Coordinate System, N.A.D. 83, North Central Zone. All coordinates shown are surface and may be converted to grid by dividing by the TxDOT conversion factor of 1.000150630.

Parcel 120, Part 2:

BEING 447 square feet of land, more or less, in the Eugene Puchalski Survey, Abstract No. 996, City of Denton, Denton County, Texas, and being a portion of Lot 27A of the Foxhunt Addition, an addition to the City of Denton as recorded in Cabinet G, Page 143, of the Plat Records, Denton County, Texas (P.R.D.C.T.) and being a portion of a tract of land as described in instrument to Franchise Realty Interstate Corporation as recorded in Volume 674, Page 597 of the Deed Records, Denton County, Texas (D.R.D.C.T.), said 447 square feet of land being more particularly described as follows:

COMMENCING at an X cut found at an interior corner of said Lot 27A, said corner being the most easterly corner of Lot 27B of said Foxhunt Addition;

THENCE North 65 degrees 24 minutes 55 seconds West, along the northerly line of said Lot 27B, a distance of 171.16 feet to a 5/8 inch iron rod set with Texas Department of Transportation (TxDot) 3-1/4 inch aluminum cap on the new

easterly right-of-way line of North Texas Boulevard and being the POINT OF BEGINNING at Station 1989+80.69, 215.29 feet Right, and having a Texas State Plane Coordinate System, N.A.D.83, North Central Zone (4202), surface coordinate of North 7,125,134.20, East 2,380,888.35;

- 1) THENCE North 65 degrees 24 minutes 55 seconds West, continuing along the northerly line of said Lot 27B, a distance of 6.04 feet to a X cut found on the easterly right-of-way line of North Texas Boulevard (formerly Avenue D), a variable width right-of-way, no deed of record found;
- 2) THENCE North 00 degrees 21 minutes 41 seconds West, along the easterly right-of-way line of North Texas Boulevard, a distance of 33.07 feet to a point for corner at the most westerly northwest corner of said Lot 27 A;
- 3) THENCE departing the easterly right-of-way line of North Texas Boulevard, South 65 degrees 25 minutes 07 seconds East along a northeasterly line of said Lot 27A a distance of 17.40 feet to a 5/8 inch iron rod set with (TxDot) 3-1/4 inch aluminum cap on the new easterly right-of-way line of North Texas Boulevard and being the beginning of a non-tangent curve to the right having a radius of 435.00 feet; **
- 4) THENCE along the new easterly right-of-way line of North Texas Boulevard and said curve through a central angle of 03 degrees 29 minutes 04 seconds, an arc distance of 26.45 feet and being subtended by a chord which bears South 09 degrees 32 minutes 31 seconds West a distance of 26.45 feet to a PK nail set; **
- 5) THENCE South 27 degrees 36 minutes 45 seconds East, continuing along the new easterly right-of-way line of North Texas Boulevard, a distance of 7.25 feet to the POINT OF BEGINNING and containing 447 square feet (0.0103 acres) of land, more or less.

** The monument described and set in this call, if destroyed during construction, may be replaced with a TxDOT Type II Right of Way Marker upon completion of the highway construction project under the supervision of a Registered Professional Land Surveyor, either employed or retained by TxDOT.

All bearings are based on the Texas State Plane Coordinate System, N.A.D. 83, North Central Zone. All coordinates shown are surface and may be converted to grid by dividing by the TxDOT conversion factor of 1.000150630.

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 an amendment to the Collaboration Agreement between UNT Health Science Center and Texas Christian University for the purpose of furthering medical education in Fort Worth, including but not limited to legal obligations and duties and any and all related facts, and possible action
- 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 .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

5:00 pm CONVENE FULL BOARD AND RECESS

Friday, August 18, 2017

9:00 am CONVENE FULL BOARD

Recess for committee meetings.

9:05 am ACADEMIC AFFAIRS AND STUDENT SUCCESS COMMITTEE

Action Item:

- 10. UNTD Naming of UNT Dallas' First Residence Hall
- 11. UNTD Review of the University of North Texas at Dallas Amended Policy Related to the *Carrying of Concealed Handguns on Campus*

Adjourn Academic Affairs & Student Success Committee.

9:15 am FINANCE AND FACILITIES COMMITTEE

Action Items:

- 14. UNTS Resolution Declaring Intention to Reimburse Certain Expenditures with Proceeds from Debt
- 15. UNTS Twenty-Sixth 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
- 16. UNTS Amendment to Regents Rule 10.300, *Debt Management*
- 17. UNTS FY17 Identity Theft Prevention Programs for UNTS, UNT, UNTHSC, and UNTD
- 18. UNTS Authorization of UNT Electric Utility Planning
- 19. UNT Delegation of Authority to Execute an Extension of UNT's Agreement with the Texas Department of Aging and Disability Services on behalf of the Denton State Supported Living Center for Psychology and Behavioral Services
- 20. UNTHSC Delegation of Authority to the Chancellor for Approval of UNTHSC Intergovernmental Transfers (IGT) of Funds for FY 2018 in the Texas Healthcare Transformation and Quality Improvement Program (1115 Transformation Waiver)

Adjourn Finance and Facilities Committee.

10:00 am CONVENE THE FULL BOARD

CONSENT AGENDA

- 1. UNTS Approval of the Minutes of the May 18-19, 2017 Board Meeting and June 2-3, June 24, June 30, and July 29, 2017 Special Called Board Meetings
- 2. UNTS Approval of Intercomponent Transfers of State Appropriations
- 3. UNT Approval of Tenure for New UNT Faculty Appointees

4. UNTHSC Approval of UNTHSC Regents' Professor Recommendations
5. UNTHSC Authorization to Enter into Agreement with Tarrant County Medical Examiner's Office for Joint Providership of Continuing Medical Education
6. UNTHSC Authorization to Enter into Agreements with Tarrant County Public Health for Continuing Education
7. UNTHSC Authorization to Execute an Agreement between UNTHSC and Tarrant County to Provide Physician Services for the Tuberculosis Elimination Program of the Tarrant County Public Health Department

ACTION ITEMS:

8. UNTS Approval of FY18 UNT System Internal Audit Plan
9. UNTS FY18 UNT System Compliance Risk Assessment and Work Plan
10. UNTD Naming of UNT Dallas' First Residence Hall
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19. UNT Delegation of Authority to Execute an Extension of UNT's Agreement with the Texas Department of Aging and Disability Services on behalf of the Denton State Supported Living Center for Psychology and Behavioral Services
20. UNTHSC Delegation of Authority to the Chancellor for Approval of UNTHSC Intergovernmental Transfers (IGT) of Funds for FY 2018 in the Texas Healthcare Transformation and Quality Improvement Program (1115 Transformation Waiver)

10:30 am RECESS FOR EXECUTIVE SESSION (Room #300)

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

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

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

12:00 pm Reconvene the Board in Open Session to consider action on Executive Session items, if any

12:05 pm ADJOURNMENT



MINUTES
BOARD OF REGENTS
Strategic and Operational Excellence Committee
May 18, 2017

The Strategic and Operational Excellence Committee of the Board of Regents of the University of North Texas System convened on Thursday, May 18, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee 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 Chairman, Regent Milton Lee, at 9:13 a.m.

The minutes of the February 23, 2017 Strategic and Operational Excellence Committee meeting were approved on a 4-0 vote following a motion by Regent A.K. Mago seconded by Regent Gwyn Shea.

The Committee was briefed on the **UNT System Administration and Institutional Strategic Plan Review** by UNT System Chancellor Lee Jackson, UNT President Neal Smatresk, UNT Health Science Center Chief Financial Officer Greg Anderson, and UNT Dallas President Bob Mong.

There being no further business, the Strategic and Operational Excellence Committee meeting adjourned at 10:14 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: May 25, 2017

UNT System Strategic Planning Update

UNTS Strategic Plan

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	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>★ 2017</td><td>53% YTD</td></tr> <tr><td>BASELINE</td><td>0%</td></tr> </table>	TARGET	100%	★ 2017	53% YTD	BASELINE	0%
		TARGET	100%						
★ 2017	53% YTD								
BASELINE	0%								
Total No. of Degrees Awarded	<table border="1"> <tr><td>TARGET</td><td>10,192</td></tr> <tr><td>2016</td><td>9,857</td></tr> <tr><td>BASELINE</td><td>9,243</td></tr> </table>	TARGET	10,192	2016	9,857	BASELINE	9,243		
TARGET	10,192								
2016	9,857								
BASELINE	9,243								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	<table border="1"> <tr><td>TARGET</td><td>80.0%</td></tr> <tr><td>★ 2016</td><td>68.4%</td></tr> <tr><td>BASELINE</td><td>71.5%</td></tr> </table>	TARGET	80.0%	★ 2016	68.4%	BASELINE	71.5%
		TARGET	80.0%						
★ 2016	68.4%								
BASELINE	71.5%								
% of Statewide Average Private Contributions Per FTSE	<table border="1"> <tr><td>TARGET</td><td>100.0%</td></tr> <tr><td>★ 2016</td><td>25.2%</td></tr> <tr><td>BASELINE</td><td>32.0%</td></tr> </table>	TARGET	100.0%	★ 2016	25.2%	BASELINE	32.0%		
TARGET	100.0%								
★ 2016	25.2%								
BASELINE	32.0%								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	Student Net Promoter Score to Recommend Their Program to Future Students	<table border="1"> <tr><td>TARGET</td><td>41</td></tr> <tr><td>★ 2017</td><td>30.75</td></tr> <tr><td>★ BASELINE</td><td>30.75</td></tr> </table>	TARGET	41	★ 2017	30.75	★ BASELINE	30.75
		TARGET	41						
★ 2017	30.75								
★ BASELINE	30.75								
% Graduates with Institutionally Approved High Impact Career Experience	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>BASELINE</td><td>34%</td></tr> </table>	TARGET	100%	BASELINE	34%				
TARGET	100%								
BASELINE	34%								
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	<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									
% of engaged employees	<table border="1"> <tr><td>★ TARGET</td><td>64%</td></tr> <tr><td>2017</td><td>35.0%</td></tr> <tr><td>BASELINE</td><td>35.0%</td></tr> </table>	★ TARGET	64%	2017	35.0%	BASELINE	35.0%		
★ TARGET	64%								
2017	35.0%								
BASELINE	35.0%								

■ Target ■ Baseline ■ Positive Progress ■ Negative Trend

UNTS Strategic Plan

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	Student Net Promoter Score to Recommend Their Program to Future Students	41
		% 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	64%

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

UNT Planning Priorities by College/School

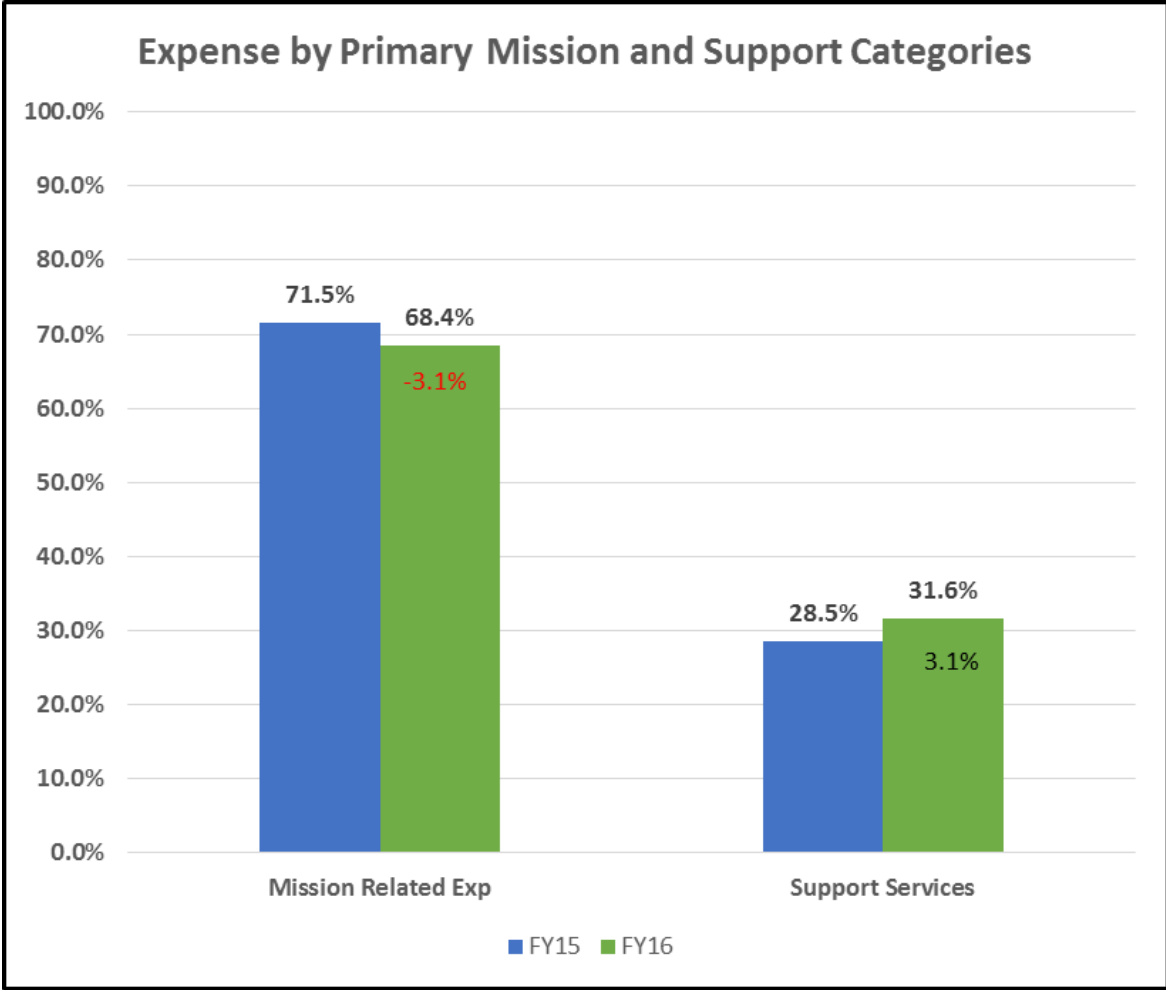


College of [REDACTED]												
Goal Owner	Theme	Key Objective	Measure	2020 Target	FY 2017	FY 2018	FY 2019	FY 2020	Plan for Measure Achievement	Qualified Objectives Set	Metric Identified	Goal Established
[REDACTED]	Learning and Discovery	Increase total research expenditures and elevate national prominence	Increase # T/TT faculty	9	7	5			Invest department funds for a VAP position to emphasize the need more TT lines to advise large graduate student population and to increase scholarship profile.			
			Increase # grant submissions	3	1				Provide incentives for writing grants including reduced teaching/service expectations and graduate student support.	X	X	X
[REDACTED]	People and Teamwork	Increase UG exposure to practicing applied anthropologists and work skills	Increase # practitioner-led classroom presentations	15	10				Capitalize on the department's relationship with the National Association for [REDACTED] to bring practitioners to campus or Skype into classrooms. Invite master's program alumni to campus to present their careers to UGs.			
[REDACTED]	Learning and Discovery	Increase research productivity	Increase number of peer-reviewed publications & performances per year	15 pubs/perfs per year	9.2 pubs/perfs per year since 2011-12				Designate faculty members to discuss their research at faculty meetings. Encourage/support tenured faculty members to apply for FDL. Establish department-wide writing schedules to protect faculty members' research times.	X	X	X
	Sustainable Growth, Finance, and Resources	Increase revenues and value	Increase # GTAs	38	33				Raise capital to endow graduate student scholarship. Make tuition reimbursement scholarships more competitive with other COMM departments.	X	X	X
[REDACTED]	Quality Experiences for Lifetime Success	Prepare all graduates to be competitive in marketplace	Increase # UG internships	20	7				Develop comprehensive database of internship opportunities based upon department history and seek out contact information for prospective organizations. Begin disseminating information about database to students as they proceed through the advising process. Invite at least 5 alums to campus every academic year to discuss career and internship advice with students.	X	X	X
[REDACTED]	Sustainable Growth, Finance, and Resources	Increase revenues and value	Increase # GD SCHs	20%	1%				Partner with units in CLASS (Communication, Media, and Performance), COE (Curriculum and Instruction), COM (Entrepreneurship), and COB (working within non-profit organizations) and implement a graduate-level certificate program in theatre.	X	X	X
	Quality Experiences for Lifetime Success	Prepare all graduates to be competitive in marketplace	Increase # internships	20	14				Work with Career Connect/QEP to place [REDACTED] majors within professional theatres or educational environments. Each [REDACTED] faculty member will secure an ongoing relationship with at least one professional [REDACTED] in the DFW area. Host a design expo each spring at a locale in Dallas and invite local artistic directors of [REDACTED] with internship programs to the event.	X	X	X
	People and Teamwork	Create a data driven culture that focuses on continuous improvement	Increase % faculty participating in development teaching portfolios	100%	14%				Each departmental portfolio expert will work with one faculty member each semester in the development of a teaching portfolio.	X	X	X

UNTS Strategic Plan

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	<p>100%</p> <p>TARGET: 100%</p> <p>★ 2017: 53% YTD</p> <p>BASELINE: 0%</p>
		Total No. of Degrees Awarded	<p>10,192</p> <p>TARGET: 10,192</p> <p>2016: 9,857</p> <p>BASELINE: 9,243</p>
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	<p>80%</p> <p>TARGET: 80.0%</p> <p>★ 2016: 68.4%</p> <p>BASELINE: 71.5%</p>
		% of Statewide Average Private Contributions Per FTSE	<p>100%</p> <p>TARGET: 100.0%</p> <p>★ 2016: 25.2%</p> <p>BASELINE: 32.0%</p>
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	Student Net Promoter Score to Recommend Their Program to Future Students	<p>41</p> <p>TARGET: 41</p> <p>★ 2017: 30.75</p> <p>★ BASELINE: 30.75</p>
		% Graduates with Institutionally Approved High Impact Career Experience	<p>100%</p> <p>TARGET: 100%</p> <p>BASELINE: 34%</p>
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	<p>100%</p> <p>TARGET: 100%</p> <p>BASELINE:</p>
		% of engaged employees	<p>64%</p> <p>★ TARGET: 64%</p> <p>2017: 35.0%</p> <p>BASELINE: 35.0%</p>

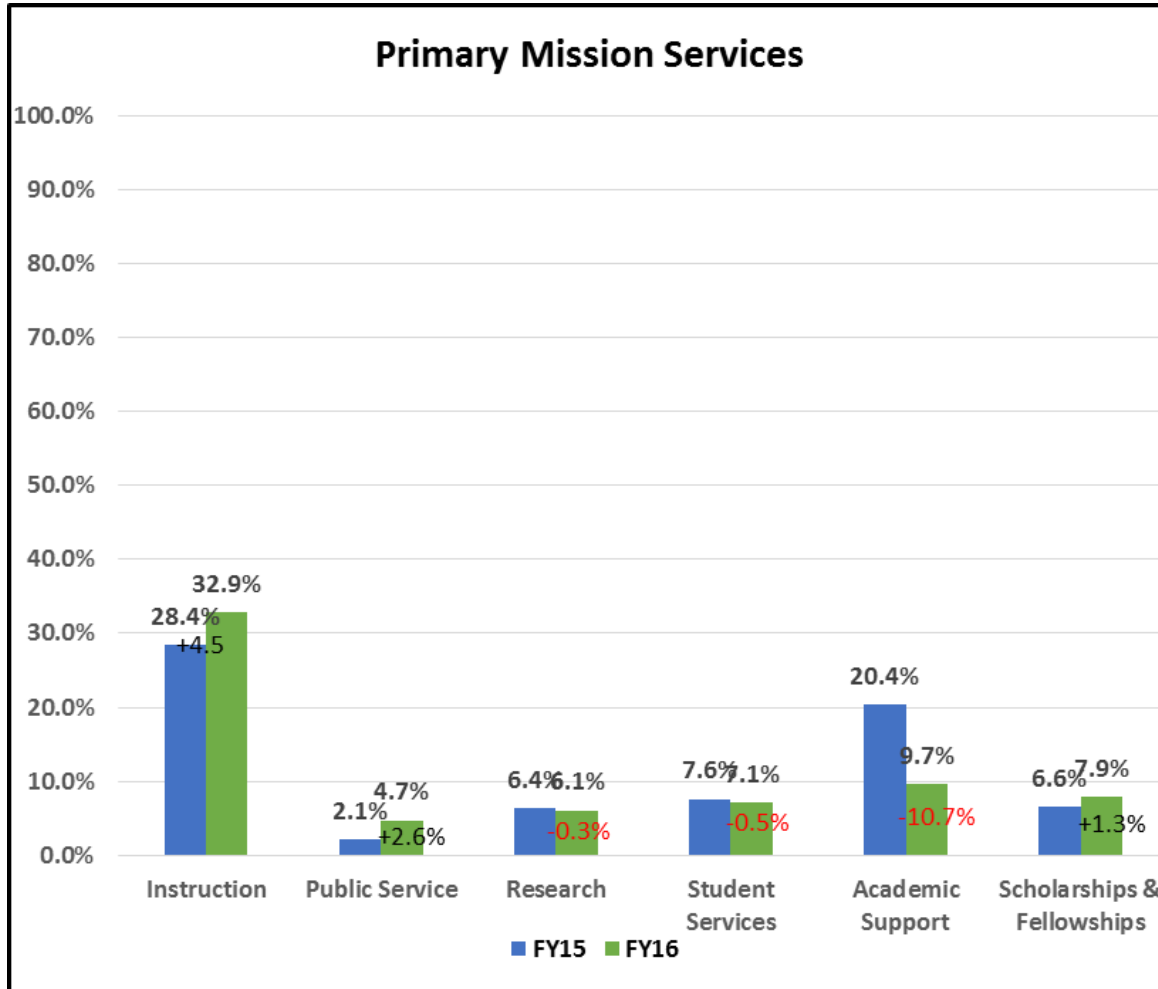
■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend



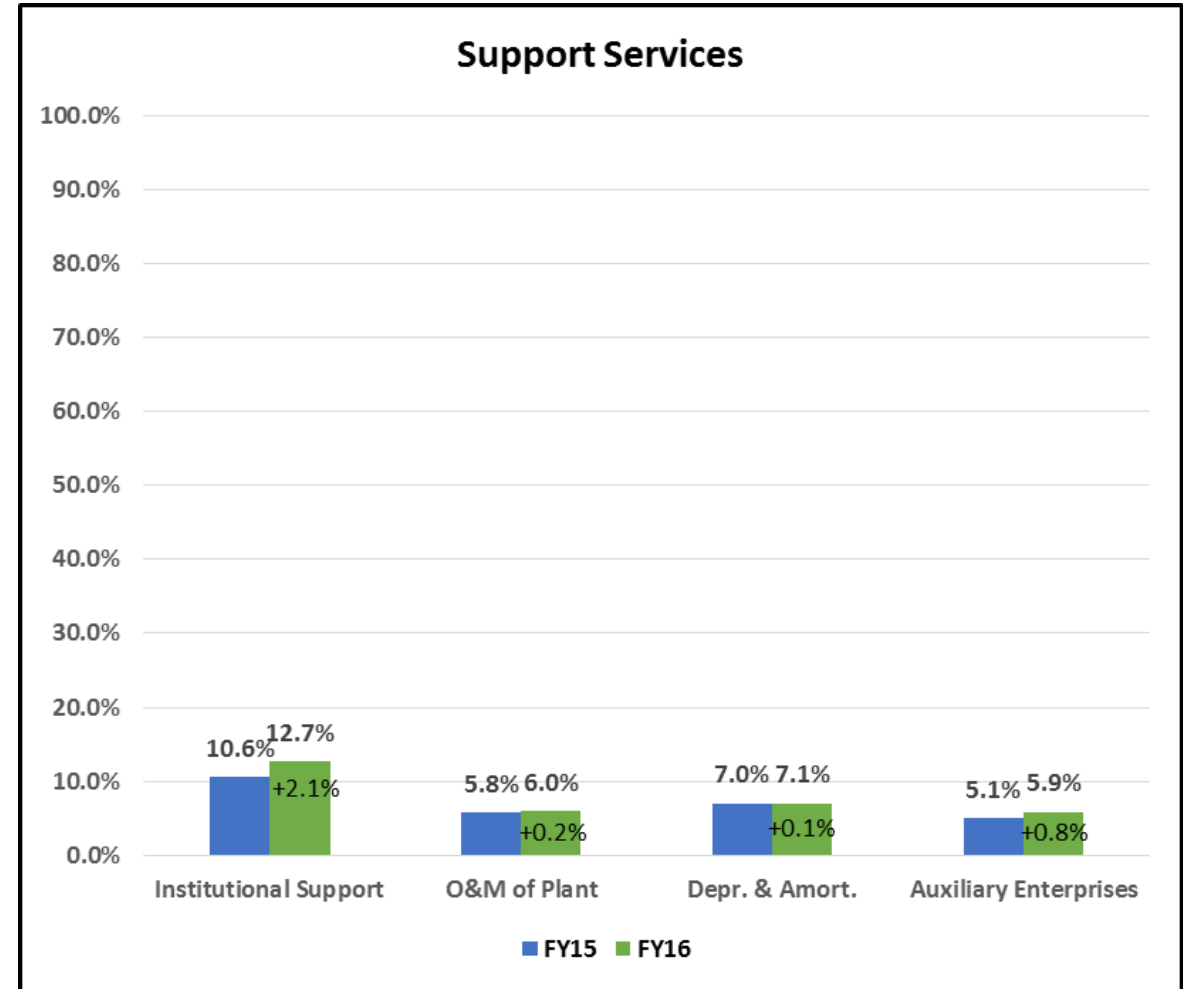
Expenses in Primary Mission Services increased by \$4.5m while Support Services increased by \$42.4m.

Consolidated

Primary Mission Services



Support Services



UNIVERSITY OF NORTH TEXAS SYSTEM - CONSOLIDATED

Source: Statement of Revenues, Expenses and Changes in Net Position

	Consolidated (AUDITED)		
	2016	2015	Difference
OPERATING EXPENSES			
Instruction	\$ 307,061,961.54	\$ 251,692,526.70	\$ 55,369,434.84
Research	56,796,046.42	56,829,943.05	(33,896.63)
Public Service	44,302,218.73	18,568,670.84	25,733,547.89
Academic Support	90,220,550.05	180,991,899.61	(90,771,349.56)
Student Services	66,490,677.74	67,672,555.53	(1,181,877.79)
Scholarships and Fellowships	74,233,990.42	58,798,897.55	15,435,092.87
Institutional Support	118,618,719.72	93,716,060.32	24,902,659.40
Operation and Maintenance of Plant	55,655,357.05	51,370,570.67	4,284,786.38
Auxiliary Enterprises	55,023,485.67	45,215,195.44	9,808,290.23
Depreciation and Amortization	65,900,269.08	62,507,964.37	3,392,304.71
Total Operating Expenses	\$ 934,303,276.42	\$ 887,364,284.08	\$ 46,938,992.34
Misson related expenses	\$ 639,105,444.90	\$ 634,554,493.28	\$ 4,550,951.62
Support Services	\$ 295,197,831.52	\$ 252,809,790.80	\$ 42,388,040.72

UNTS Strategic Plan

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	TARGET 100% ★ 2017 53% YTD BASELINE 0%
		Total No. of Degrees Awarded	TARGET 10,192 2016 9,857 BASELINE 9,243
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	TARGET 80.0% ★ 2016 68.4% BASELINE 71.5%
		% of Statewide Average Private Contributions Per FTSE	TARGET 100.0% ★ 2016 25.2% BASELINE 32.0%
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	Student Net Promoter Score to Recommend Their Program to Future Students	TARGET 41 ★ 2017 30.75 ★ BASELINE 30.75
		% Graduates with Institutionally Approved High Impact Career Experience	TARGET 100% BASELINE 34%
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	TARGET 100% BASELINE
		% of engaged employees	★ TARGET 64% 2017 35.0% BASELINE 35.0%

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

UNTS Strategic Plan

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% ★ 2017: 53% YTD BASELINE: 0%
		Total No. of Degrees Awarded 10,192	TARGET: 10,192 2016: 9,857 BASELINE: 9,243
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service 80%	TARGET: 80.0% ★ 2016: 68.4% BASELINE: 71.5%
		% of Statewide Average Private Contributions Per FTSE 100%	TARGET: 100.0% ★ 2016: 25.2% BASELINE: 32.0%
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	Student Net Promoter Score to Recommend Their Program to Future Students 41	TARGET: 41 ★ 2017: 30.75 ★ BASELINE: 30.75
		% Graduates with Institutionally Approved High Impact Career Experience 100%	TARGET: 100% BASELINE: 34%
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers 100%	TARGET: 100% BASELINE:
		% of engaged employees 64%	★ TARGET: 64% 2017: 35.0% BASELINE: 35.0%

Target Baseline Positive Progress Negative Trend

UNTS Strategic Plan

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	<p>100%</p> <p>TARGET 100%</p> <p>★ 2017 53% YTD</p> <p>BASELINE 0%</p>
		Total No. of Degrees Awarded	<p>10,192</p> <p>TARGET 10,192</p> <p>2016 9,857</p> <p>BASELINE 9,243</p>
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	<p>80%</p> <p>TARGET 80.0%</p> <p>★ 2016 68.4%</p> <p>BASELINE 71.5%</p>
		% of Statewide Average Private Contributions Per FTSE	<p>100%</p> <p>TARGET 100.0%</p> <p>★ 2016 25.2%</p> <p>BASELINE 32.0%</p>
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	Student Net Promoter Score to Recommend Their Program to Future Students	<p>41</p> <p>TARGET 41</p> <p>★ 2017 30.75</p> <p>★ BASELINE 30.75</p>
		% Graduates with Institutionally Approved High Impact Career Experience	<p>100%</p> <p>TARGET 100%</p> <p>BASELINE 34%</p>
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	<p>100%</p> <p>TARGET 100%</p> <p>BASELINE</p>
		% of engaged employees	<p>64%</p> <p>★ TARGET 64%</p> <p>2017 35.0%</p> <p>BASELINE 35.0%</p>

Target Baseline Positive Progress Negative Trend

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	100%	TARGET: 100% 2016: 22% BASELINE: 22%
		Research award dollars increased	\$55M	TARGET: \$55 ★ 2017: \$44 YTD 2016: \$47.2 BASELINE: \$42.7
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	Total donor funds received	\$50M	CUM. TARGET: \$50 ★ 2017: \$11.9 YTD 2016: \$5.3 BASELINE: \$3.4
		# of total GME slots	550	TARGET: 550 ★ 2017: 449 YTD 2016: 390 BASELINE: 360
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	% of programs with >90% satisfaction with quality of teaching	% of programs with >90% satisfaction with quality of teaching	100%	TARGET: 100% ★ 2017: 60% 2016: 36% BASELINE: 45%
		% of programs with >90% satisfaction with quality of education	100%	TARGET: 100% ★ 2017: 20% 2016: 27% BASELINE: 36%
PEOPLE & TEAMWORK:	4. Build culture based on values	Team Member Engagement	64%	★ TARGET: 64% ★ 2017: 43% BASELINE: 43%
		% of New Hires hired for Values and Competencies	100%	TARGET: 100% ★ 2017: 52.6% YTD 2016: 21.3% BASELINE:

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

Last Edited - 08.08.17

*All statuses are reported annually unless otherwise noted. "YTD" to the right of the status denotes quarterly updates.
 All targets except for those marked "Cum. Target" are expressed as annual targets for the final year of then plan. "Cum. Target" shows a cumulative sum of all years of the plan.



UNT Strategy Update

PLAN PRIORITIES: UNT Strategic Goals



UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS	STATUS*						
LEARNING & DISCOVERY:	1. Increase total research expenditures and elevate national prominence	Increase restricted research expenditures	<table border="1"> <tr> <td>TARGET</td> <td>\$31.5</td> </tr> <tr> <td>2016</td> <td>\$12.9</td> </tr> <tr> <td>BASELINE</td> <td>\$16.1</td> </tr> </table>	TARGET	\$31.5	2016	\$12.9	BASELINE	\$16.1
		TARGET	\$31.5						
2016	\$12.9								
BASELINE	\$16.1								
		Increase # of programs ranked nationally in the top 100	<table border="1"> <tr> <td>TARGET</td> <td>70</td> </tr> <tr> <td>BASELINE</td> <td>62</td> </tr> </table>	TARGET	70	BASELINE	62		
TARGET	70								
BASELINE	62								
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase revenues and values	Increase cash donations received	<table border="1"> <tr> <td>TARGET</td> <td>\$23.3</td> </tr> <tr> <td>2016</td> <td>\$16.7</td> </tr> <tr> <td>BASELINE</td> <td>\$13.2</td> </tr> </table>	TARGET	\$23.3	2016	\$16.7	BASELINE	\$13.2
		TARGET	\$23.3						
2016	\$16.7								
BASELINE	\$13.2								
		Increase # of graduate students	<table border="1"> <tr> <td>TARGET</td> <td>8,042</td> </tr> <tr> <td>2016</td> <td>6,782</td> </tr> <tr> <td>BASELINE</td> <td>6,672</td> </tr> </table>	TARGET	8,042	2016	6,782	BASELINE	6,672
TARGET	8,042								
2016	6,782								
BASELINE	6,672								
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Prepare all graduates to be competitive in the marketplace	Increase # of degrees awarded	<table border="1"> <tr> <td>TARGET</td> <td>9,051</td> </tr> <tr> <td>2016</td> <td>8,552</td> </tr> <tr> <td>BASELINE</td> <td>8,432</td> </tr> </table>	TARGET	9,051	2016	8,552	BASELINE	8,432
		TARGET	9,051						
2016	8,552								
BASELINE	8,432								
		Increase % of UG graduating students receiving significant career development through university programs	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>29%</td> </tr> </table>	TARGET	50%	BASELINE	29%		
TARGET	50%								
BASELINE	29%								
PEOPLE & TEAMWORK:	4. Create a data-driven culture that focuses on continuous improvement	Increase % of engaged employees	<table border="1"> <tr> <td>★ TARGET</td> <td>64%</td> </tr> <tr> <td>BASELINE</td> <td>35%</td> </tr> </table>	★ TARGET	64%	BASELINE	35%		
		★ TARGET	64%						
BASELINE	35%								
		Increase % of faculty and staff who have participated in culture change training	<table border="1"> <tr> <td>TARGET</td> <td>50%</td> </tr> <tr> <td>BASELINE</td> <td>20.3%</td> </tr> </table>	TARGET	50%	BASELINE	20.3%		
TARGET	50%								
BASELINE	20.3%								

Last Edited -08.08.17

*All targets and statuses listed are annual figures

Target Baseline Positive Progress Negative Trend

UNT Dallas Strategy Update

PLAN PRIORITIES: UNT Dallas Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS		STATUS	
LEARNING & DISCOVERY:	1. Establish academic programs of excellence that address regional and student needs	No. of Programs of Excellence compared to national peers	5	TARGET	5
		Priority Programs Aligned to Workforce Needs	10	TARGET	10
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase annual fundraising and enrollment to achieve sustainable size	Total Cash Received	\$5 Million	CUM. TARGET	\$5,000,000
		% of Headcount Total Enrollment Goal	5,000	★ 2017	1,405,062 YTD
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase graduates with quality learning outcomes and career experiences	% of Graduates with University- sponsored high impact internships/career experiences	100%	★ BASELINE	\$740,173
		% of Graduates with Outstanding Communications Skills	85%	TARGET	8,042
PEOPLE & TEAMWORK:	4. Build a strong culture of shared values	Net Promoter Score for Students Who Would Recommend Their Program	50	2017	3,030
		% of Engaged Employees	64%	2016	2,488

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

Last Edited - 08.8.17

*All statuses are reported annually unless otherwise noted. "YTD" to the right of the status denotes quarterly updates.
 All targets except for those marked "Cum. Target" are expressed as an annual target for the final year of the plan. "Cum. Target" shows a cumulative sum of all years of the plan.

PLAN PRIORITIES: UNT System 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%
		Total No. of Degrees Awarded	10,192	★ 2017	53% YTD
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase mission-specific investment	% of Budget Invested in Primary Mission Service	80%	BASELINE	0%
		% of Statewide Average Private Contributions Per FTSE	100%	TARGET	10,192
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase student engagement and satisfaction	Student Net Promoter Score to Recommend Their Program to Future Students	41	2016	9,857
		% Graduates with Institutionally Approved High Impact Career Experience	100%	BASELINE	9,243
PEOPLE & TEAMWORK:	4. Increase service quality and satisfaction	% Satisfaction of Internal/External Customers	100%	TARGET	80.0%
		% of engaged employees	64%	★ 2016	68.4%

Last Edited - 08.07.17 - DRAFT IN PROGRESS
 *All targets and statuses listed are annual figures.

Target Baseline Positive Progress Negative Trend

UNT System Administration Strategic Plan At-a-Glance

UNTS Theme	Key Objectives	Initiatives	Measures	Baseline	2016	Targets			
						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	\$31.5M	TARGET	\$31.5
				2016	\$12.9
				BASELINE	\$16.1
		Increase # of programs ranked nationally in the top 100	70	TARGET	70
				BASELINE	62
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase revenues and values	Increase cash donations received	\$23.3M	TARGET	\$23.3
				2016	\$16.7
				BASELINE	\$13.2
		Increase # of graduate students	8,042	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	9,051	TARGET	9,051
				2016	8,552
				BASELINE	8,432
		Increase % of UG graduating students receiving significant career development through university programs	50%	TARGET	50%
				BASELINE	29%
PEOPLE & TEAMWORK:	4. Create a data-driven culture that focuses on continuous improvement	Increase % of engaged employees	64%	★ TARGET	64%
				BASELINE	35%
		Increase % of faculty and staff who have participated in culture change training	50%	TARGET	50%
				BASELINE	20.3%

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

Last Edited -08.08.17

*All targets and statuses listed are annual figures.

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	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>2016</td><td>22%</td></tr> <tr><td>BASELINE</td><td>22%</td></tr> </table>	TARGET	100%	2016	22%	BASELINE	22%		
		TARGET	100%								
2016	22%										
BASELINE	22%										
Research award dollars increased	<table border="1"> <tr><td>TARGET</td><td>\$55</td></tr> <tr><td>★ 2017</td><td>\$44 YTD</td></tr> <tr><td>2016</td><td>\$47.2</td></tr> <tr><td>BASELINE</td><td>\$42.7</td></tr> </table>	TARGET	\$55	★ 2017	\$44 YTD	2016	\$47.2	BASELINE	\$42.7		
TARGET	\$55										
★ 2017	\$44 YTD										
2016	\$47.2										
BASELINE	\$42.7										
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Strengthen HSC long-term viability	Total donor funds received	<table border="1"> <tr><td>CUM. TARGET</td><td>\$50</td></tr> <tr><td>★ 2017</td><td>\$11.9 YTD</td></tr> <tr><td>2016</td><td>\$5.3</td></tr> <tr><td>BASELINE</td><td>\$3.4</td></tr> </table>	CUM. TARGET	\$50	★ 2017	\$11.9 YTD	2016	\$5.3	BASELINE	\$3.4
		CUM. TARGET	\$50								
★ 2017	\$11.9 YTD										
2016	\$5.3										
BASELINE	\$3.4										
# of total GME slots	<table border="1"> <tr><td>TARGET</td><td>550</td></tr> <tr><td>★ 2017</td><td>449 YTD</td></tr> <tr><td>2016</td><td>390</td></tr> <tr><td>BASELINE</td><td>360</td></tr> </table>	TARGET	550	★ 2017	449 YTD	2016	390	BASELINE	360		
TARGET	550										
★ 2017	449 YTD										
2016	390										
BASELINE	360										
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	% of programs with >90% satisfaction with quality of teaching	% of programs with >90% satisfaction with quality of teaching	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>★ 2017</td><td>60%</td></tr> <tr><td>2016</td><td>36%</td></tr> <tr><td>BASELINE</td><td>45%</td></tr> </table>	TARGET	100%	★ 2017	60%	2016	36%	BASELINE	45%
		TARGET	100%								
★ 2017	60%										
2016	36%										
BASELINE	45%										
% of programs with >90% satisfaction with quality of education	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>★ 2017</td><td>20%</td></tr> <tr><td>2016</td><td>27%</td></tr> <tr><td>BASELINE</td><td>36%</td></tr> </table>	TARGET	100%	★ 2017	20%	2016	27%	BASELINE	36%		
TARGET	100%										
★ 2017	20%										
2016	27%										
BASELINE	36%										
PEOPLE & TEAMWORK:	4. Build culture based on values	Team Member Engagement	<table border="1"> <tr><td>★ TARGET</td><td>64%</td></tr> <tr><td>★ 2017</td><td>43%</td></tr> <tr><td>BASELINE</td><td>43%</td></tr> </table>	★ TARGET	64%	★ 2017	43%	BASELINE	43%		
		★ TARGET	64%								
★ 2017	43%										
BASELINE	43%										
% of New Hires hired for Values and Competencies	<table border="1"> <tr><td>TARGET</td><td>100%</td></tr> <tr><td>★ 2017</td><td>52.6% YTD</td></tr> <tr><td>2016</td><td>21.3%</td></tr> <tr><td>BASELINE</td><td></td></tr> </table>	TARGET	100%	★ 2017	52.6% YTD	2016	21.3%	BASELINE			
TARGET	100%										
★ 2017	52.6% YTD										
2016	21.3%										
BASELINE											

Target Baseline Positive Progress Negative Trend

Last Edited - 08.08.17

*All statuses are reported annually unless otherwise noted. "YTD" to the right of the status denotes quarterly updates.

All targets except for those marked "Cum. Target" are expressed as annual targets for the final year of then plan. "Cum. Target" shows a cumulative sum of all years of the plan.

UNTHSC Strategic Plan At-a-Glance

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

PLAN PRIORITIES: UNT Dallas Strategic Goals

UNTS THEME	KEY OBJECTIVES	MEASURES / 5 YR TARGETS		STATUS	
LEARNING & DISCOVERY:	1. Establish academic programs of excellence that address regional and student needs	No. of Programs of Excellence compared to national peers	5	TARGET	5
		Priority Programs Aligned to Workforce Needs	10	TARGET	10
SUSTAINABLE GROWTH, FINANCE & RESOURCES:	2. Increase annual fundraising and enrollment to achieve sustainable size	Total Cash Received	\$5 Million	★ 2017	1,405,062 YTD
		% of Headcount Total Enrollment Goal	5,000	★ BASELINE	\$740,173
QUALITY EXPERIENCES FOR LIFETIME SUCCESS:	3. Increase graduates with quality learning outcomes and career experiences	% of Graduates with University- sponsored high impact internships/career experiences	100%	TARGET	100%
		% of Graduates with Outstanding Communications Skills	85%	★ 2017	35.6%
PEOPLE & TEAMWORK:	4. Build a strong culture of shared values	Net Promoter Score for Students Who Would Recommend Their Program	50	2016	29%
		% of Engaged Employees	64%	★ BASELINE	35%

■ Target
 ■ Baseline
 ■ Positive Progress
 ■ Negative Trend

Last Edited - 08.8.17

*All statuses are reported annually unless otherwise noted. "YTD" to the right of the status denotes quarterly updates.

All targets except for those marked "Cum. Target" are expressed as an annual target for the final year of the plan. "Cum. Target" shows a cumulative sum of all years of the plan.

UNT Dallas Strategic Plan At-a-Glance

UNTS Theme	Key Objectives	Initiatives	Measures	Baseline	Targets				
					2016	2018 2 Year	2021 5 Year	2026 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	-----	
		2.1 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)	% 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. (Casa de Calvo)	% 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. (Casa de Calvo)	% 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)	# 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 AASCU peers (Shi) (08/31/21)	# of AASCU 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)	Retrieval 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)	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. Increase enrollment, retention, and completion rates (UNT Dallas) (08/31/21)	7.1 Grow student enrollment (Edelman) (08/31/21)	Increase student headcount		2,575	2,488	3,480	5,000	-----
		7.2 Exceed FTIC state retention rate (Stewart) (08/31/21)	% above state retention rate		-5.3%	3%	6.5%	10%	-----
		7.3 Improve 4-year graduation rate (Stewart) (08/31/21)	Four year graduation rate		7.6%	15%	20%	25%	-----
		7.4 Improve 6-year graduation rate (Stewart) (08/31/21)	Six-year graduation rate		NA	0%	-----	50%	-----
	8. Improve student and administrative customer service (UNT Dallas)	8.1 Create a customer-oriented culture (Robertson) (08/31/26)	Net Promoter Score		46.3	-----	40	50	-----
		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 UNT Dallas 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 programming (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	-----		
12.1 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%	-----
	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)	# 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	44%	-----	60%	64%	-----	
		15.2 G.R.E.A.T Communications - Genuine Relevant Effective and Timely Communication (Johnson & Corliss) (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 Academic Affairs and Student Success Committee May 18-19, 2017

Thursday, May 18, 2017

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System convened on Thursday, May 18, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee 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, Regent Al Silva at 10:14 a.m.

The minutes of the February 23-24, 2017 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 Gwyn Shea.

UNT System Vice Chancellor for Academic Affairs and Student Success, Rosemary Haggett, and the institutional chief academic officers, UNT Provost Finley Graves, UNT Health Science Center Interim Provost Claire Peel, and UNT Dallas Provost Betty Stewart, briefed the Committee on the **Assessment of Student Learning Outcomes**.

Chair Silva noted that the Committee had received a revised **Quarterly Academic Measures Report**. Vice Chancellor Rosemary Haggett explained the new data in the report.

There being no further business, the Academic Affairs and Student Success Committee meeting recessed at 11:34 a.m. until Friday, May 19 at 9:05 a.m.

Friday, May 19, 2017

The Academic Affairs and Student Success Committee of the Board of Regents of the University of North Texas System reconvened on Friday May 19, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee 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 Chair Silva at 9:01 a.m.

Chair Silva noted that the Committee had ten action items to consider. Vice Chancellor Rosemary Haggett presented the first action item.

8. UNTS Approval and Ratification of 2017-2018 Admission Standards for UNT System Institutions

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

The next six action items were presented by UNT Provost Finley Graves.

9. UNT Approval of UNT Tenure Recommendations

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

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

Regent Milton Lee made a motion to table this item for further study. The motion was seconded by Regent Gwyn Shea. The Committee approved the motion to table the item on a 4-0 vote.

11. UNT Approval to Add the UNT Bachelor of Science Degree Program with a Major in Consumer Experience

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

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

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

13. UNT Approval to Add the Master of Science Degree Program with a Major in Data Science

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

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

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

UNT Health Science Center Interim Provost Claire Peel presented the UNT Health Science Center candidates for approval of tenure.

15. UNTHSC Approval of UNTHSC Tenure Recommendations

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

The UNT Dallas candidates for approval of tenure were presented by UNT Dallas Provost Betty Stewart.

16. UNTD Approval of UNTD Dallas Tenure Recommendations

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

Provost Stewart also presented the last action item, a new degree program for UNT Dallas.

17. UNTD Approval to Add the UNT Dallas Bachelor of Business Administration Degree with a Major in Business Analytics

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

There being no further business, the Committee meeting adjourned at 9:12 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: May 25, 2017

UNT System College of Pharmacy: **Addressing Unmet Health Needs**

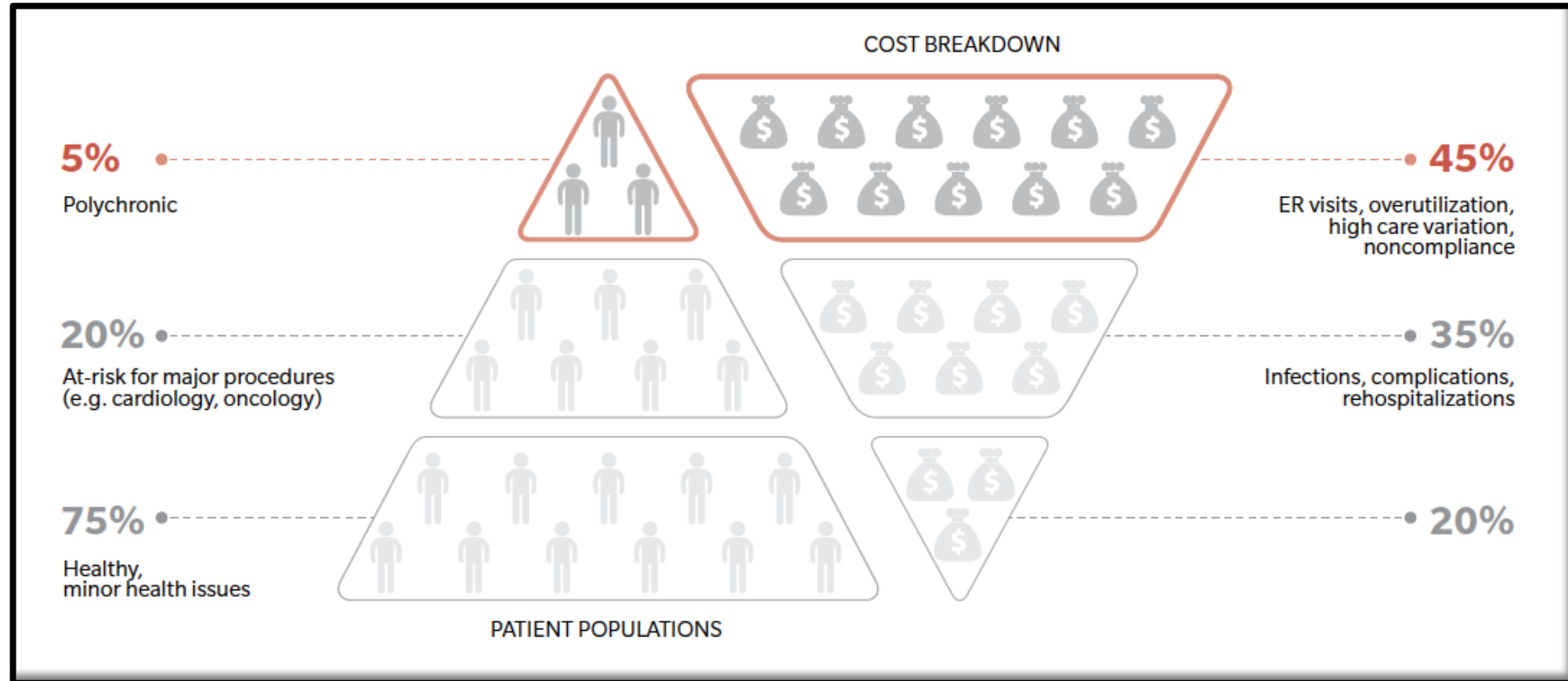
Our Mission:

*Create solutions
for a healthier community by...*

- Developing patient-centered pharmacists
- Promoting team health care
- Optimizing health through discovery



Unmet Health Needs

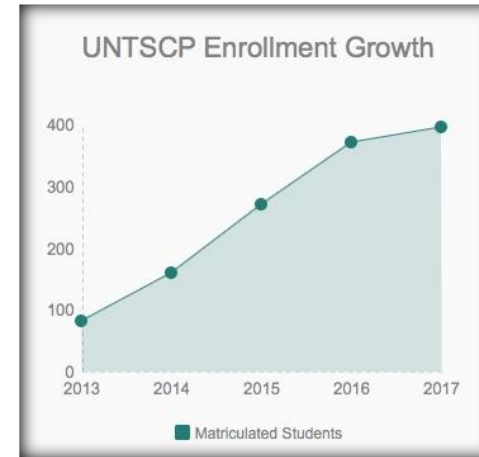


Graphic source: <http://www.oliverwyman.com/insights/publications/2012/nov/the-volume-to-value-revolution.html>

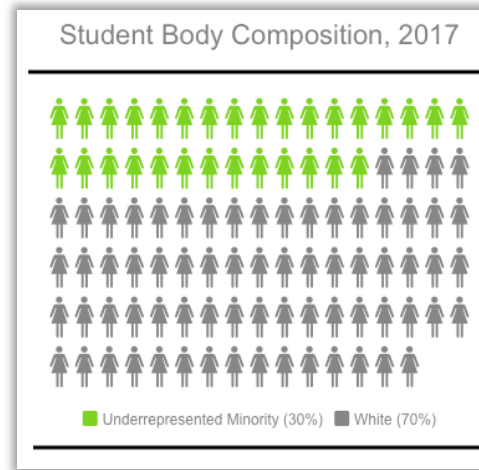
Student Pharmacists

Local Pipeline

98% FROM TEXAS



393 Student Pharmacists



Admissions Profile

58% Female

71st %ile PCAT

3.4 GPA

Pharmacy Faculty

Faculty Composition, 2017



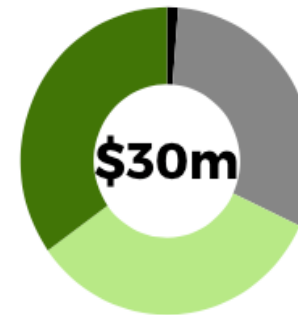
UNTSCP Research Ranking



Research Topics Spanning the Drug Discovery Process

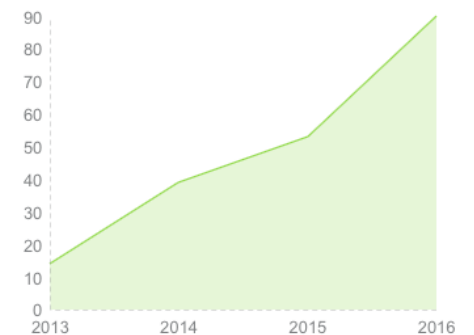


Research Revenue, 2013-16



■ 2013 (1.24%) ■ 2014 (30.70%) ■ 2015 (33.19%) ■ 2016 (34.88%)

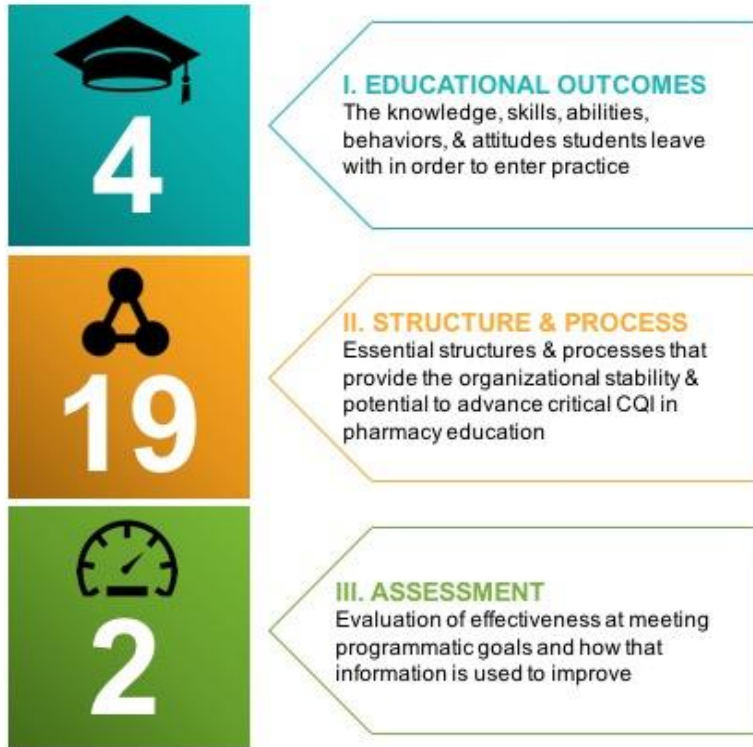
Peer Reviewed Publications



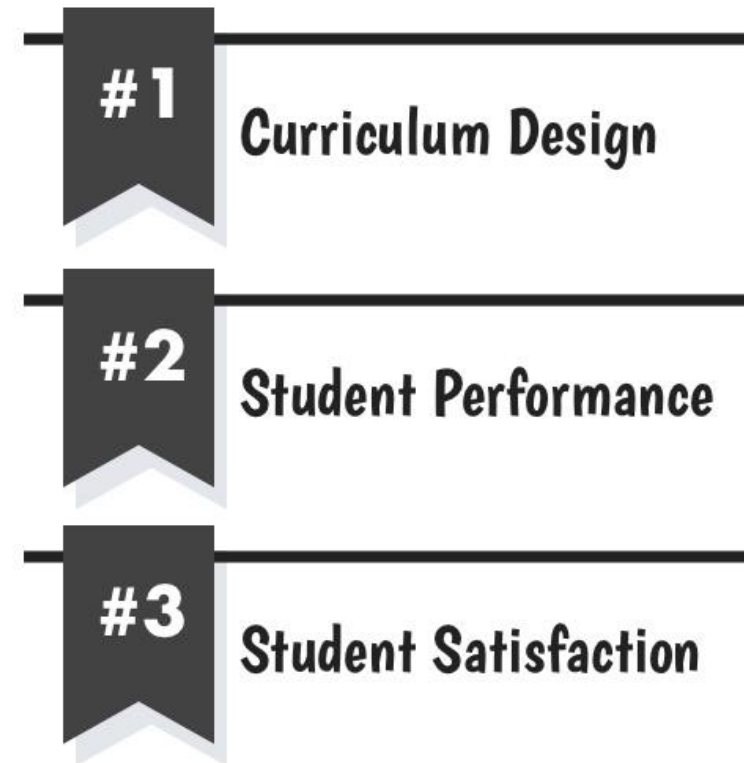


Doctor of Pharmacy Program

25 Quality Standards



Areas of Distinction

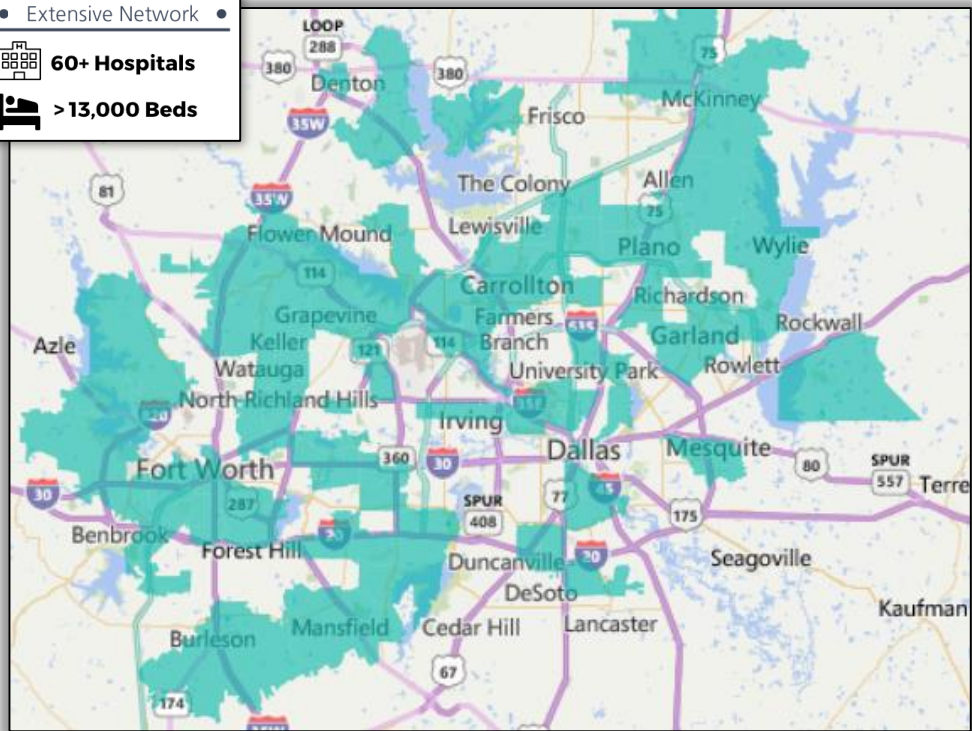


Pharmacist Provided Care

Clinical Partnerships

Health Systems

- Extensive Network •
- 60+ Hospitals
- > 13,000 Beds



Pharmacist Preceptors
970

Innovative Care Models

17

... pharmacist faculty integrated into patient care teams

- UNT Health Seminary Clinic
- UNT Health Geriatrics Program
- UNT Health Mighty Care Program
- UNT Health Patient Care Center
- North Texas Specialty Physicians
- Cook Children's Medical Center
- Medical City Fort Worth

- AIDS Arms Clinic
- Medical City Dallas
- Texas Methodist Charlton
- Baylor Scott White
- Texas Methodist Mansfield
- Medical City Arlington

100%

...growth of pharmacy residency positions since 2011

Community Pharmacy

- Top Student Placements •
- CVS Health**
- Walgreens**
- Walmart**
- Tom Thumb**
- Independent Pharmacies**

Future – Changing the Narrative



University of North Texas System College of Pharmacy Class of 2017

Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: July 7, 2017

Title: Naming of UNT Dallas' First Residence Hall

Background:

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

A Qualtrics survey, that included 4 potential names for the residence hall and a write-in option, was developed and distributed to students to give them the opportunity to vote. The names that were to be considered included University Hall, Wisdom Hall, Camp Wisdom Hall, with several write-ins for Jaguar Hall. At the conclusion of the voting period, Wisdom Hall was the name of choice.

The Residence Hall Operations Planning Committee, with the concurrence of the President of the University of North Texas at Dallas, supports the name of choice and recommends naming the new residence hall "Wisdom Hall."

Financial Analysis/History:

There is no financial implication in the naming of this residence hall.

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Date: 2017.08.03 14:30:54 -05'00'

Institution Chief Financial Officer

Janet
Waldron

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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.08.07 18:11:53 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 16:04:53 -05'00'

Vice Chancellor/General Counsel

Schedule:

The residence hall is scheduled to open for the Fall 2017 semester.

Recommendation:

It is recommended that the new residence hall, pictured in the attachment to this item, be named Wisdom Hall.

Recommended By:

Bob Mong Digitally signed by Bob Mong
DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untDallas.edu, c=US
Date: 2017.08.03 14:56:35 -05'00' **Bob Mong**
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,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2017.08.07 10:02:34 -05'00'
Vice Chancellor

Lee Jackson Digitally signed by Lee Jackson
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Date: 2017.08.09 09:17:51 -05'00'
Chancellor

Attachment Filed Electronically:

- Picture of UNT Dallas' First Residence Hall



Board Order

Title: Naming of UNT Dallas' First Residence Hall

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

Whereas, the naming of this residence hall complies with Board of Regents Rule 09.200, and

Whereas, a Qualtrics survey was developed and distributed to students to give them the opportunity to vote, and

Whereas, the Residence Hall Operations Planning Committee, with the concurrence of the President of the University of North Texas at Dallas, supports the name of choice.

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

1. The new residence hall be named Wisdom Hall.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

UNT Dallas Residence Hall



Board Briefing



Committee: Academic Affairs & Student Success

Date Filed: July 7, 2017

Title: Review of the University of North Texas at Dallas Amended Policy Related to the *Carrying of Concealed Handguns on Campus*

Background:

The 2015 passing of Senate Bill 11, during the Texas Legislative session, amended the laws regarding conceal carry of handguns on a university campus by allowing individuals who hold a valid concealed carry license to carry on campus premises. On August 1, 2016 Senate Bill 11 went into effect, subject to rules established by the president and reviewed by the Board of Regents. On February 25, 2016 the UNT System Board of Regents approved the UNT Dallas concealed carry policy which contained guidelines that met the requirements of Senate Bill 11. The purpose of this item is to amend the UNT Dallas conceal carry on campus policy to reflect language inclusive of the residence hall. The amended policy contains procedures pertaining to the storage of handguns in residential facilities owned or leased by the university and located on the campus premises.

Financial Analysis/History:

The initial estimated costs for signage was \$2,375. Additional costs of \$14,880 for gun safes in the residence hall were incurred.

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las.edu

Digitally signed by Daniel Edelman
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Institution Chief Financial Officer

Janet Waldron

Digitally signed by Janet Waldron
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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.08.07 18:12:34 -0500

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 16:05:39 -0500

Vice Chancellor/General Counsel

Schedule:

Effective immediately upon Board approval.

Recommendation:

It is recommended that the Board approve the amended UNT Dallas policy related to *Carrying of Concealed Handguns on Campus* as set forth in the attachment to this item.

Recommended By:

Dan Edelman

Chief Financial Officer

Bob Mong

Digitally signed by Bob Mong
DN: cn=Bob Mong, o=UNT Dallas,
ou=Office of the President,
email=bob.mong@untdallas.edu, c=US
Date: 2017.08.03 14:57:14 -05'00'

President

**Rosemary R.
Haggett**

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Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
email=rosemary.haggett@untsystem.edu, c=US
Date: 2017.08.07 10:03:17 -05'00'

Vice Chancellor

Lee Jackson

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ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.08.09 09:19:05 -05'00'

Chancellor

Attachment Filed Electronically:

- UNT Dallas Policy No. 12.006, Carrying of Concealed Handguns on Campus



Board Order

Title: Review of the University of North Texas at Dallas Amended Policy Related to the *Carrying of Concealed Handguns on Campus*

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

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

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

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

Whereas, review of the institution's policy including amendments to bring the Board of Regents into compliance with Senate Bill 11.

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

1. UNT Dallas Policy (Amended) 12.006, *Carrying of Concealed Handguns on Campus*.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

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

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

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

Definitions.

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

faculty or staff position or in a position where the individual is required to be a student as a condition of employment.

~~8-9.~~ Handgun. “Handgun” means any firearm that is designed, made, or adapted to be fired with one hand.

~~9-10.~~ Interscholastic event. “Interscholastic event” means a function or program involving elementary or secondary schools.

~~10-11.~~ Large-scale event. “Large scale event” means a function or event, other than a classroom or academic program, where attendance is reasonably anticipated to exceed 200 individuals.

12. License Holder. “License Holder” means a person issued a License to Carry a Handgun (formerly called a “Concealed Handgun License”) by the Texas Department of Public Safety under Chapter 411 of the Texas Government Code.

~~11-13.~~ Private Residential Room. “Private residential room” means a room that is capable of being locked by the occupant to whom it is assigned, and no other access to the bedroom space is available through a suite bathroom or other shared space.

~~12-14.~~ Reviewing Official. “Reviewing Official” means the University official designated by the President to review a decision to temporarily restrict the carrying of concealed handguns on the campus premises.

~~13-15.~~ Work Area. “Work area” means the place or places an individual performs assigned duties as an employee of a component of the University of North Texas System.

Procedures and Responsibilities.

A. Open Carry Prohibited.

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

B. Carrying of Concealed Handgun by a License Holder.

1. Right to Carry. A License Holder may carry a concealed handgun while on the campus premises (including public driveways, streets, sidewalks or walkways, parking lots, parking garages and other parking areas) and in University of North Texas at Dallas passenger transportation vehicles unless prohibited by state or federal law, or by this policy. License Holders are responsible for knowing areas where carrying a concealed handgun is prohibited where notice is not required to be posted.

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

C. Carrying of Concealed Handgun by Employees.

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

D. Locations and Activities where Concealed Handguns are Prohibited.

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

1. Concealed handguns are prohibited:
 - a. at a location where a high school, collegiate, or professional sporting event or interscholastic event is taking place as prohibited under section 46.035(b)(2) of the Texas Penal Code; or where a sports club or intramural athletic competition is taking place, specifically the volleyball and basketball courts and soccer field;
 - b. at a location used as a church, synagogue, or other established place of religious worship as prohibited under section 46.035(b)(6) of the Texas Penal Code;
 - c. at a location designated as a polling place on the day of a federal, state, or local election, including while early voting is in progress as set out in section 46.03(a)(2) of the Texas Penal Code;

- d. at a location where the campus premises is used by a court unless the handgun is carried pursuant to written regulation or written authorization of the court in accordance with section 46.03(a)(3) of the Texas Penal Code;
 - e. in a nonpublic, secure portion of the University of North Texas at Dallas Police Department used to conduct official business as prohibited under section 411.207(b) of the Texas Government Code;
 - f. at a location where mental health services are provided, specifically the Community Counseling Clinic and the offices of UNT Dallas faculty and staff who provide mental health counseling as part of their official responsibilities;
 - g. in a laboratory that contains containerized combustibles, flammables, corrosives, or natural gas outlets, or where biological hazards, as defined by this policy, are present;
 - h. where state or federal law or contract, at the sole discretion of the state or federal government or organization with whom the contract is entered, requires exclusion of a handgun in a specific location and the exclusion does not generally prohibit or have the effect of generally prohibiting License Holders from carrying concealed handguns on the campus premises; and
 - i. at a location where a student disciplinary proceeding is being conducted.
2. Concealed handguns are prohibited at the following Activities:
- a. university and high school graduations; and
 - b. where alcoholic beverages are available or served.

Responsible Party: UNT Dallas Police Department

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

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

1. Notice required under this policy must read:

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

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

Responsible Party: UNT Dallas Police Department

F. Campus Housing.

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

1. Residents.

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

2. Non-Residents.

- a. A license holder who does not reside in campus housing may carry a concealed handgun into campus housing except during periods between the spring and fall semesters when the facility hosts camps attended by minors.
- b. The handgun must be carried on the non-resident's person at all times and may not be stored in a campus housing room.

3. Responsible for Personal Injury or Damage. A resident or non-resident whose possession, use or storage of a handgun results in personal injury or property damage is personally liable for the injury or damage.

Responsible Party: Associate Vice President of Student Access and Success for Student Affairs

G. Temporarily Prohibiting Concealed Handguns on Campus Premises.

1. The President or President’s designee may prohibit the carrying of concealed handguns for up to seventy-two (72) hours in order to promote safety on the campus premises:
 - a. when the Activity has a history for violence; or
 - b. where a large-scale activity, due to the uniqueness of the campus environment, specific threat of violence, or other safety considerations present a reasonable threat to health or safety.
2. The University Chief of Police may prohibit the carrying of concealed handguns on the campus premises:
 - a. when it reasonably appears there is threat of injury to human life, destruction to university property, or a threat of willful disruption of orderly operation of the university as defined in section 51.231 of the Education Code, or
 - b. upon receipt of credible information of imminent injury to human life or destruction to university property.
3. Review of Decision to Temporarily Restrict Carrying of Concealed Handgun.
 - a. A License Holder may request review of the decision to temporarily prohibit the carrying of a concealed handgun.
 - b. The request must be submitted in writing to the Reviewing Official and describe why allowing concealed handguns at the location or Activity does not present a safety concern.
 - c. The Reviewing Official may request additional information and must notify the License Holder of the decision no later than two (2) days after receiving the request for review. The notice must provide the reason(s) for the decision.
 - d. The decision of the Reviewing Official is final.

Responsible Party: Reviewing Official

H. Sanctions for Violating this Policy.

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

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

I. Report to Legislature.

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

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

Responsible Party: President

J. Amending Policy.

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

1. A request to amend this policy to permanently prohibit the carrying of a concealed handgun must be submitted, in writing, to the University Policy Office.
2. The request must describe the specific factual reasons for the permanent designation, including any safety concern(s), the nature of the student population, and any unique features or circumstances related to the building, part of a building, or Activity that will take place regularly in the building. The request also should identify other locations of the campus or Activities with similar characteristics where concealed handguns are prohibited.
3. The request and proposed amendment must be posted on the University's webpage dedicated to the carrying of concealed handguns. Interested individuals must be given a reasonable time and opportunity to comment on the request. Students, faculty, and staff must be given the opportunity to comment in person before the proposed amendment is submitted to the President for approval.

4. Any amendment to this policy that has the effect of restricting the lawful carrying of a concealed handgun by a License Holder must be submitted to the Board of Regents within 90 days of the President's approval, and will not take effect until reviewed by the Board.

Responsible Party: President

References and Cross-references.

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

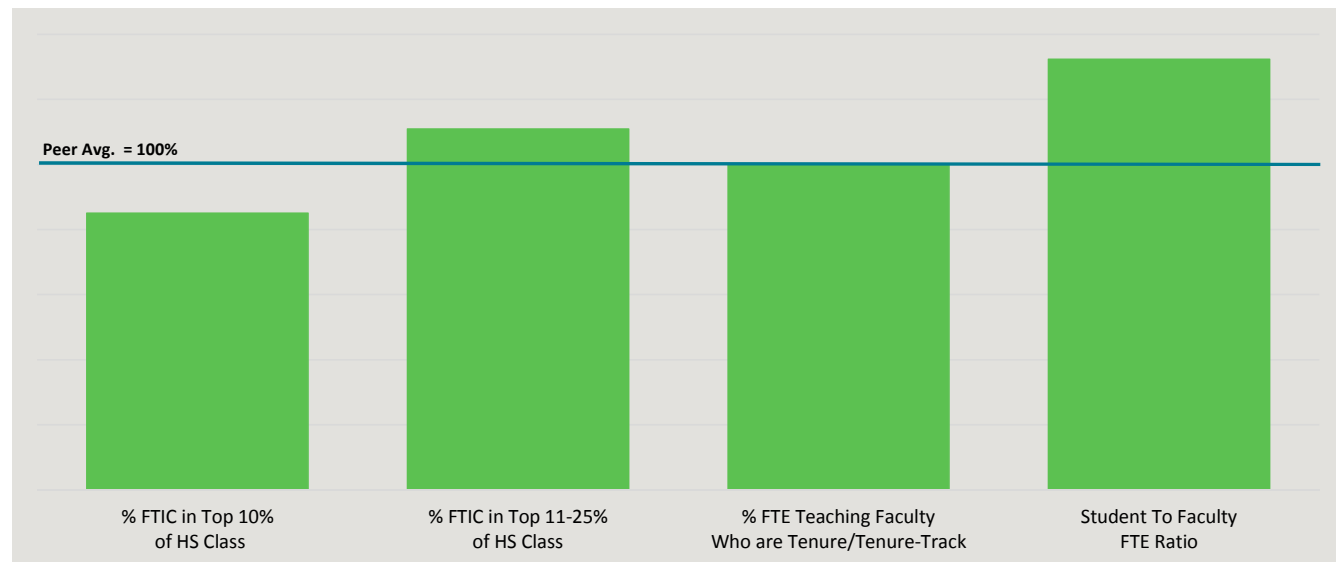
Forms and Tools.

Approved:
Effective:
Revised:

Academic Quality Dashboard



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

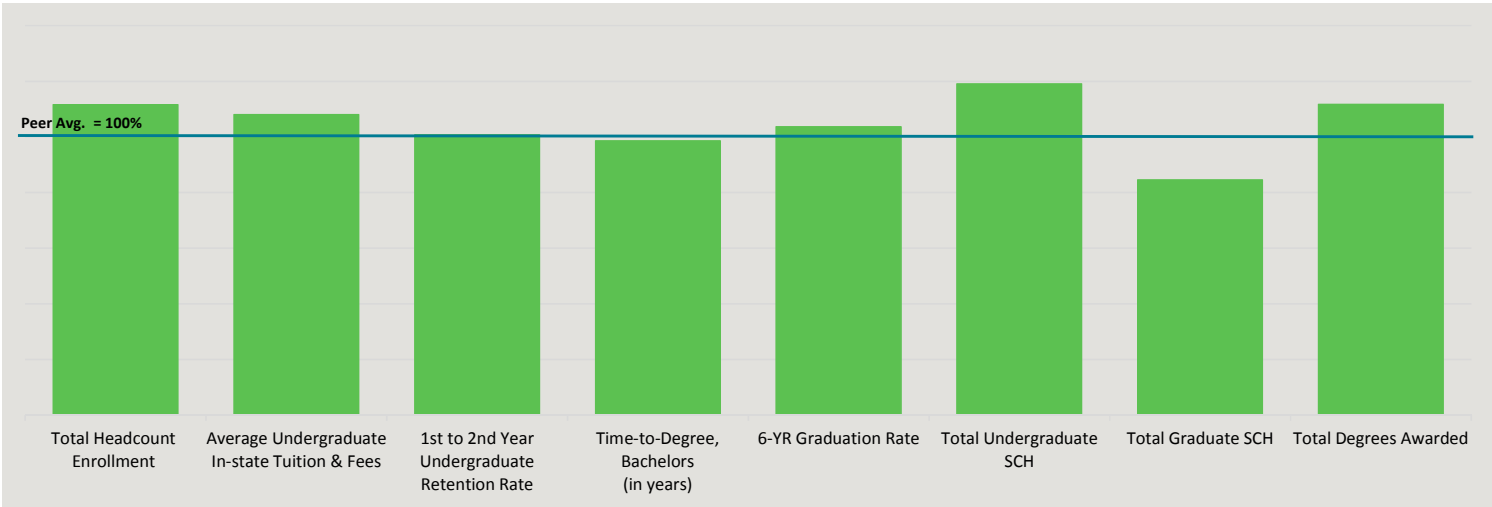


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Student Access & Success Dashboard



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

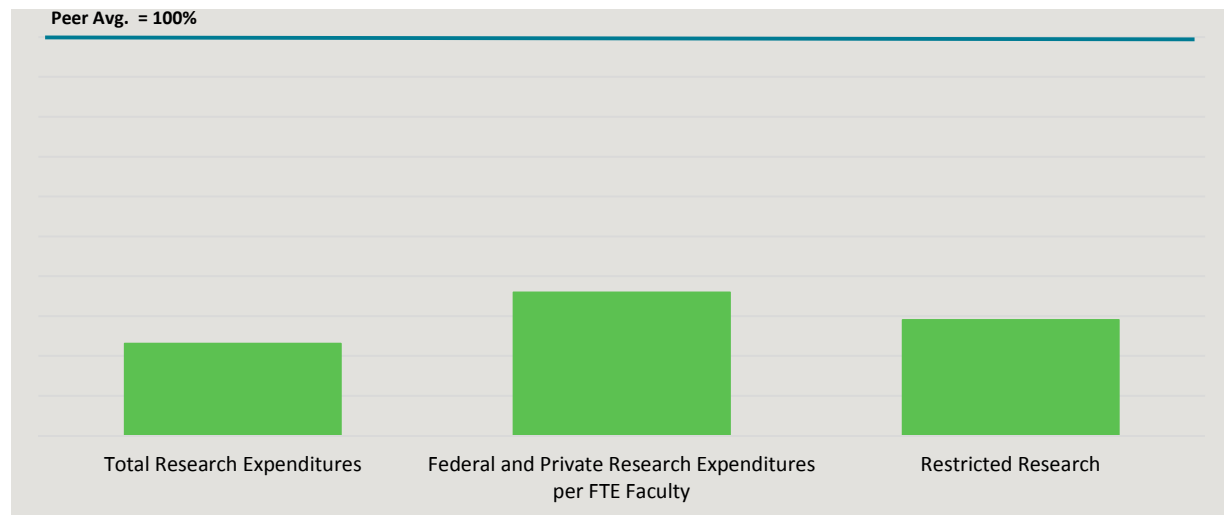


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Research Dashboard



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

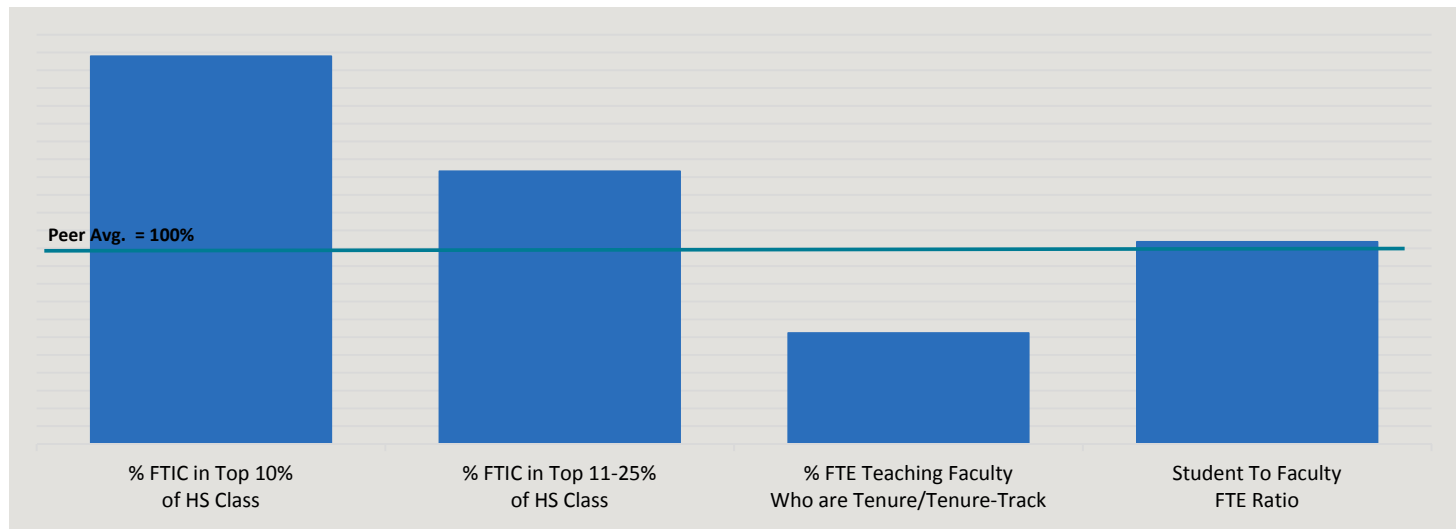


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Academic Quality Dashboard



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

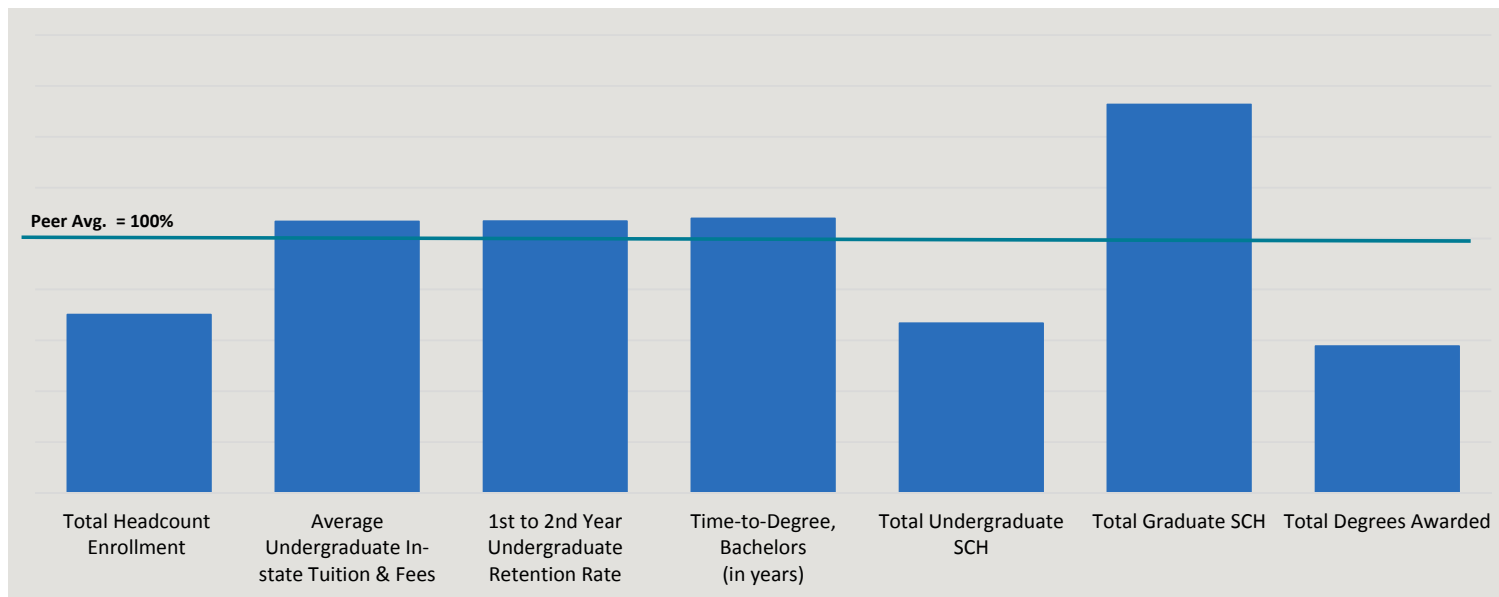


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Student Access & Success Dashboard



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

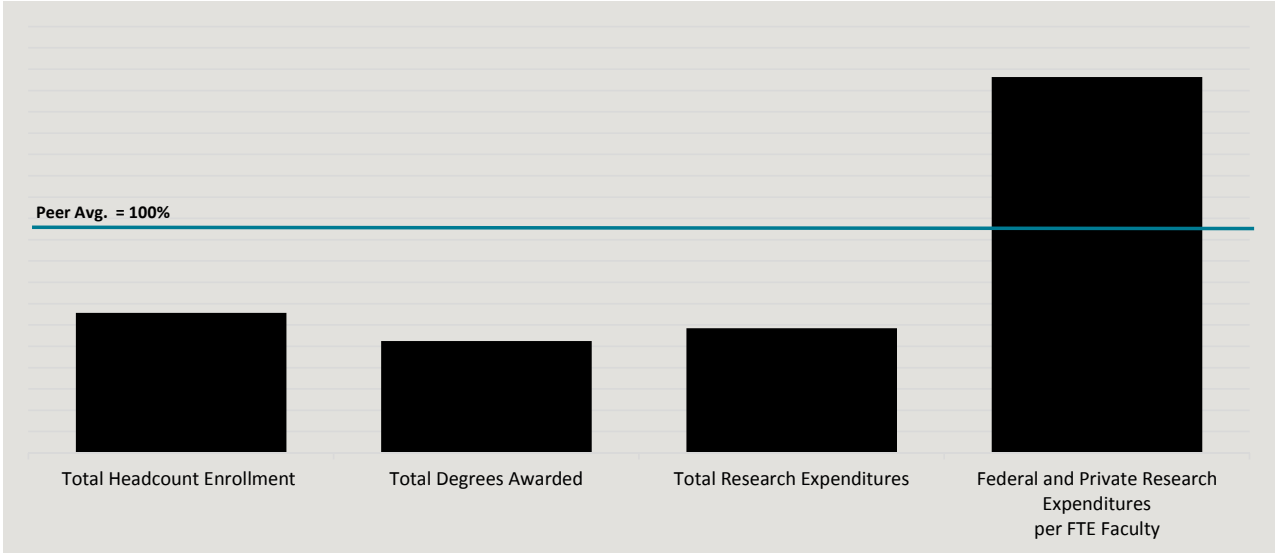


Data used is the most recent data available from the THECB Accountability Report as of May 10, 2017.

Student Access & Success and Research Dashboard



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



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



MINUTES

BOARD OF REGENTS Audit Committee May 18, 2017

The Audit Committee of the Board of Regents of the University of North Texas System convened on Thursday, May 18, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

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

The minutes of the February 23, 2017 and May 1, 2017 Audit Committee meetings were approved on a 4-0 vote following a motion by Regent Don Potts seconded by Regent Laura Wright.

Ben Kohnle, Partner at Grant Thornton, briefed the Committee on the **External Audit of the UNT System FY 2016 Consolidated Annual Financial Statements**, after which Chairman Whitley noted the action item on the agenda.

7. UNTS **Acceptance of the Externally Audited UNT System FY 16 Consolidated Annual Financial Report**

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

Tracy Grunig, UNT System Chief Audit Executive presented two briefings: **Report of Audit Activities** and **UNT System Enterprise Audit Report Inventory**.

There being no further business, the Audit Committee meeting adjourned at 2:53 p.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: May 25, 2017

Audit Committee
University of North Texas System
Board of Regents
May 18, 2017



MINUTES

BOARD OF REGENTS Audit Committee July 31, 2017

The Audit Committee of the Board of Regents of the University of North Texas System convened on Monday, July 31, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee members in attendance: Regents Don Potts, Glen Whitley, and Laura Wright. Regent Haley Leverett was also present.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Glen Whitley, at 1:34 p.m.

Steve Hill, Director of Business Development and Institutional Compliance at UNT, briefed the Committee on the **FY18 – UNT System Administration, UNT and UNT Dallas Compliance Consolidated Risk Assessment and Work Plan**. Desiree Ramirez, Chief Compliance Officer at the UNT Health Science Center, presented a briefing on the **FY18 – UNT Health Science Center Introduction and Compliance Consolidated Risk Assessment and Work Plan**.

Tracy Grunig provided two briefings to the Audit Committee. The first was the **UNT System Internal Audit Draft FY18 Annual Internal Audit Plan**. She then gave an update on the **Enterprise Audit Report Inventory** to the Audit Committee.

At 2:53 p.m., Regent Whitley recessed the Audit Committee into Executive Session in accordance with Texas Government Code Section 551.071 and 551.074. Regent Whitley reconvened the Board into open session at 3:50 p.m. There was no action item from Executive Session.

There being no further business, the Audit Committee meeting adjourned at 3:50 p.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: August 11, 2017

Audit Committee
University of North Texas System
Board of Regents
July 31, 2017



Title: Approval of FY18 UNT System Internal Audit Plan

Background:

In accordance with the UNT System (UNTS) Internal Audit Charter adopted February 20, 2015, the Texas Internal Auditing Act (Government Code Chapter 2102.005) and Regent Rule 4.501.4.b, an Annual Risk Assessment was conducted for the UNTS and its member component institutions. The UNTS Internal Audit Plan for FY18, resulting from this Annual Risk Assessment, is attached for the Board of Regents review and approval.

Financial Analysis/History:

Preparing the Annual UNTS Internal Audit Plan and seeking approval by the Board of Regents, is an integral component of the UNTS Internal Audit process. This proposal is anticipated to be accomplished using the staff resources currently assigned to the Internal Audit function along with some outsourcing.

**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: 2017.08.07 18:10:40 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 16:04:10 -05'00'

Vice Chancellor/General Counsel

Schedule:

The FY18 UNTS Internal Audit Plan will be adopted immediately upon approval by the Board of Regents.

Recommendation:

It is recommended that the Board of Regents approve the attached FY18 UNTS Internal Audit Plan.

Recommended By:

**Tracy C.
Grunig**

Digitally signed by Tracy C. Grunig
DN: cn=Tracy C. Grunig, o=University of
North Texas System, ou=Internal Audit,
email=tracy.grunig@untsystem.edu, c=US
Date: 2017.08.08 10:34:09 -05'00'

Tracy C. Grunig

Chief Audit Executive

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: 2017.08.09 09:15:17 -05'00'

Chancellor

Attachments Filed Electronically:

- FY18 UNTS Internal Audit Plan



Board Order

Title: Approval of FY18 UNT System Internal Audit Plan

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

Whereas, Chapter 2102 of the Texas Government Code and Regent Rule 4.501.4.b requires the Board of Regents to review and approve the FY18 Annual Risk Assessment and Internal Audit Plan, and

Whereas, the Internal Audit department conducted the Annual Risk Assessment within professional standards and in concert with management and the Compliance Offices, and

Whereas, the Board of Regents has reviewed the Internal Audit Plan,

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

1. FY18 UNTS Internal Audit Plan
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

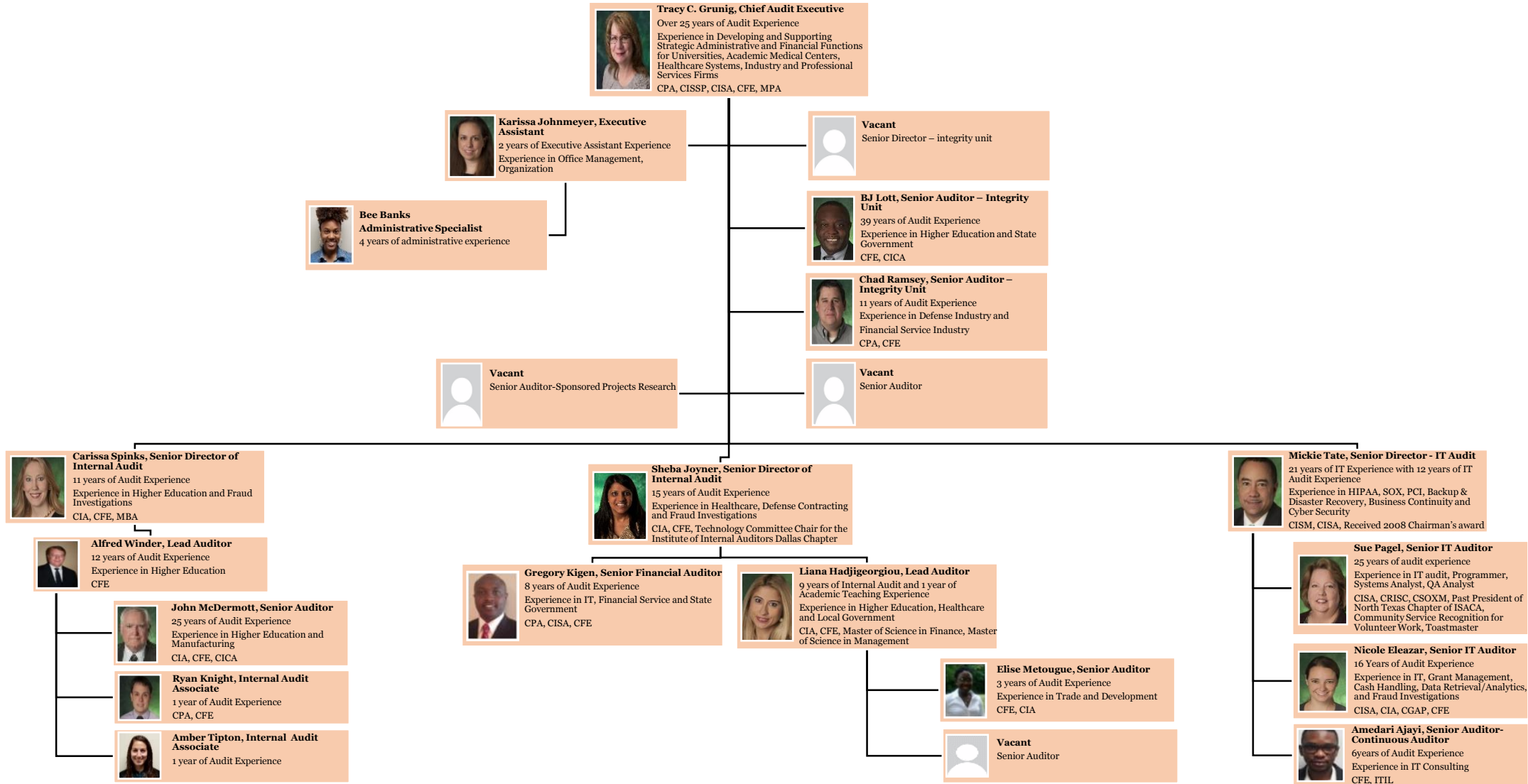
Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

UNT System Internal Audit FY18 Annual Internal Audit Plan

Who We Are



University of North Texas System Internal Audit FY17 Annual Audit Plan



Source	Functional Area		Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
						UNTS	UNT	UNTHSC	UNT Dallas	
REQ-REG AGENCY	COMPLIANCE		Cancer Prevention and Research Institute of Texas (CPRIT) (outsourced-BKD)	Final Draft Report	August 2017			X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE		Conflict of Interest	Final Draft Report	August 2017	X				Contract Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE		Status Report - Senate Bill 20 Mandated Internal Audit Assessment	Final Draft Report	August 2017	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	Texas College of Osteopathic Medicine Financial Review (TCOM)	Final Draft Report	August 2017			X		Financial; Operational
MGMT REQUEST	FINANCIAL	U	Graduate School of Biomedical Sciences (GSBS)	Final Draft Report	August 2017			X		Financial; Operational
MGMT REQUEST	FINANCIAL	U	Behavioral Analysis PhD Program Review	Final Draft Report	August 2017		X			Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	Retirement Contributions	Final Draft Report	August 2017	X				Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	International Student Sponsorships Review	Final Draft Report	August 2017		X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	STUDENTS		Residence Hall - Student Safety Practices	Final Draft Report	August 2017		X			Student Safety; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY		Student Data Access (FY16 AAP)	Final Draft Report	August 2017	X				Reputational; Operational
REQ-REG AGENCY	COMPLIANCE		Student-Managed Investment Fund (SMIF) (outsourced-PwC)	Draft Report			X			Compliance; Reputational; Financial; Operational
INTERNAL AUDIT	FINANCIAL	U	International Travel	Draft Report			X			Compliance; Operational; Reputational
INTERNAL AUDIT	FINANCIAL		Minor Capital Projects	Draft Report			X			Financial; Operational; Contract Compliance; Economical and Efficient Use of Resources
MGMT REQUEST	FINANCIAL	U	Community Counseling Clinic Transition Audit	Draft Report					X	Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL		Financial Review of UNTHSC Reserves (outsourced-PwC)	Draft Report				X		Financial; Operational; Reputational
INTERNAL AUDIT	FINANCIAL		Scholarships Review (outsourced-PwC)	Draft Report					X	Compliance; Reputational; Operational
MGMT REQUEST	FINANCIAL	U	College of Music Transition Audit	Draft Report			X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Classroom Support Services	Draft Report			X			Compliance; Operational; Reputational

University of North Texas System Internal Audit FY17 Annual Audit Plan (pg. 2)

Source	Functional Area	Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
					UNTS	UNT	UNTHSC	UNT Dallas	
MGMT REQUEST	ACADEMIC	Enrollment Audit (outsourced-PwC)	In-Process			X	X	X	Student Safety; Financial; Operational
MGMT REQUEST	FINANCIAL	U Lifelong Learning & Professional Development (LLPD) Business Process Audit	In-Process			X			Compliance; Reputational; Financial; Operational; Regulatory
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Risk Assessment (outsourced-PwC)	In-Process		X				Compliance; Reputational; Operational
MGMT REQUEST	MANAGEMENT ADVISORY SERVICES	Registrar's Office Business Process	In-Process					X	Reputational; Operational; Compliance with Policies
REQ-BOARD OF REGENTS	COMPLIANCE	Chancellor's/President's Expenditure Reviews	Issued	November 2016	X	X	X	X	Compliance; Reputational; Financial; Operational
REQ-REG AGENCY	COMPLIANCE	Joint Admissions Medical Program (JAMP)	Issued	November 2016		X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U School of Public Health	Issued	November 2016			X		Financial; Operational
INTERNAL AUDIT	INTEGRITY UNIT	(10) Investigations - (5 formal reports, 5 case reports)	Issued	November 2016		X	X		Personnel Issues
REQ-REGENT RULES AND ENTERPRISE POLICIES	COMPLIANCE	Investments	Issued	February 2017	X	X	X	X	Compliance; Reputational; Financial; Operational
REQ-REG AGENCY	COMPLIANCE	THECB Plaza Medical Center Family Medicine Residency Program (FRMP)	Issued	February 2017			X		Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U College of Visual Arts and Design Transition Audit	Issued	February 2017		X			Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U Management Administrative Review	Issued	February 2017				X	Financial; Operational; Regulatory
INTERNAL AUDIT	INTEGRITY UNIT	(11) Investigations - (5 formal reports, 6 case reports)	Issued	February 2017		X			Personnel Issues; Cash Loss; Management Oversight
INTERNAL AUDIT	COMPLIANCE	THECB Faculty Development Grant (outsourced-PwC)	Issued	May 2017			X		Compliance; Financial; Operational; Reputational
INTERNAL AUDIT	INTEGRITY UNIT	(9) Investigations - (3 formal reports, 6 case reports)	Issued	May 2017		X			Management Oversight; Reputational
MGMT REQUEST	INFORMATION TECHNOLOGY	Health Care Data Security - assigned to a work group	Value Added Resource to Management				X		Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INTEGRITY UNIT	Resource Protection Program Review	Value Added Resource to Management			X	X	X	Reputational; Asset Misappropriation; Physical Safety
INTERNAL AUDIT	INTEGRITY UNIT	Inventory Control Review	Value Added Resource to Management			X	X	X	Reputational; Asset Misappropriation; Compliance with Policies; Financial; Economical and Efficient Use of Resources

University of North Texas System Internal Audit FY17 Annual Audit Plan (pg. 3)



Source	Functional Area	Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
					UNTS	UNT	UNTHSC	UNT Dallas	
MGMT REQUEST	FINANCIAL	Revenue Cycle-Billing Cycle	Cancelled				X		Financial; Operational; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Virtual Server Environments	Cancelled		X				Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Vulnerability Scanning & Penetration Testing Review	Cancelled		X				Information Technology Security; IT System Network Authorization and Access; Operational; Compliance with Policies; Reputational
MGMT REQUEST	STUDENTS	Student Awareness and Training - Lab Safety	Defer to FY18			X	X	X	Student Safety; Operational; Compliance with Policies; Reputational
MGMT REQUEST	NCAA	NCAA Compliance	Defer to FY18			X			Regulatory; Reputational; Compliance with Policies; Operational
FY16 Audits Issued in FY17:									
REQ-REG AGENCY	COMPLIANCE	FY15 Cancer Prevention and Research Institute of Texas (CPRIT) (outsourced-BKD)	Issued	November 2016		X	X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE	Benefits Proportionality (outsourced -PwC)	Issued	November 2016		X	X	X	Reputational; Financial; Operational
INTERNAL AUDIT	COMPLIANCE	Selected Grants Review - National Science Foundation	Issued	November 2016		X			Compliance
MGMT REQUEST	FINANCIAL	Toulouse Graduate School	Issued	November 2016		X			Compliance with Policy; Operational
MGMT REQUEST	FINANCIAL	Athletics Department - Business Process Review	Issued	November 2016		X			Compliance with Policy; Operational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Privacy and Data Protection	Issued	November 2016	X	X		X	Data Security; Sensitive and Confidential Information
INTERNAL AUDIT	COMPLIANCE	Endowments (outsourced - PwC)	Issued	February 2017		X			Compliance; Reputational; Financial; Operational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Change Management	Issued	February 2017		X	X		Compliance; Financial; Operational

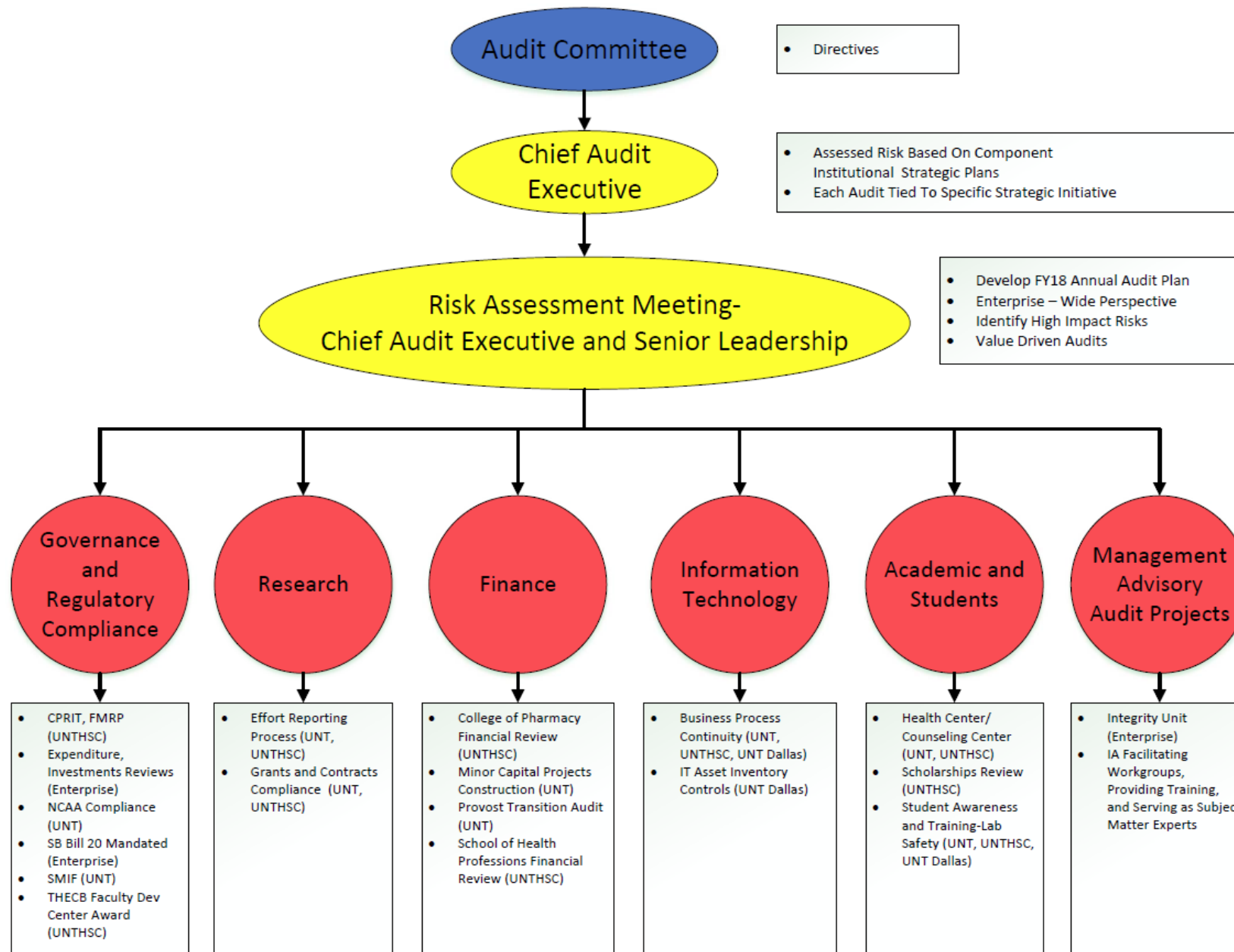
University of North Texas System Internal Audit

Allocation of Staff Audit Hours to FY18 Annual Internal Audit Plan

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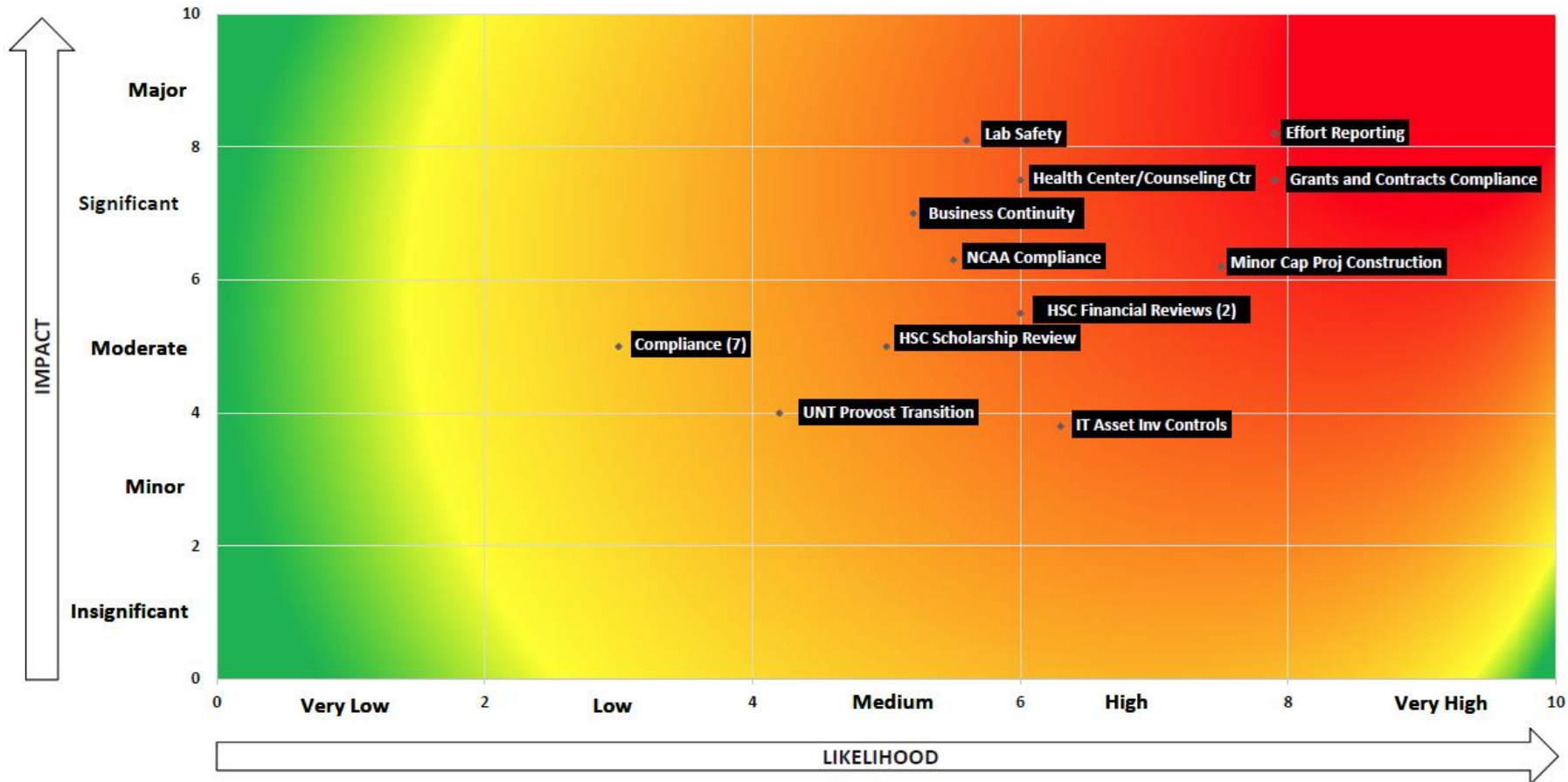


Total Audit Staff Hours Available (15 FTE + 1 FTE partial year)	32,760	
Less Non-Direct Time (30% -e.g., vacation, sick, CPE)	<u>(9,828)</u>	
Direct Hours Available for Audit Activities	22,932	
Non-Direct Internal Audit Activities (e.g., IIA professional guidelines compliance, service provided to professional organizations, etc.) Represents 5% of Direct Hours Available	<u>(1,174)</u>	
Hours Allocated to Audit Projects and Value-Added Management Services		<u>21,758</u>
Hours Allocated to Audit Projects	20,294	
Hours Allocated to Value-Added Management Services	<u>1,464</u>	
		<u>21,758</u>



University of North Texas System Internal Audit Risk Assessment Heat Map

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Heat Map Legend:

A heat map is a two-dimensional representation of data in which values are represented by colors. Likelihood and Impact of Risk for each proposed audit are evaluated and plotted based on a 1 to 10 scale.

Audits that appear in green or yellow zones have a lower impact on the Enterprise and/or likelihood of occurrence, while audits that appear in orange or red zones have a greater impact on the Enterprise and/or likelihood of occurrence.

University of North Texas System Internal Audit FY18 Annual Internal Audit Plan

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Source	Functional Area	Title of Audit	Description and Audit Objectives	Hours in Total	Component Institution				Identified Risk
					System	UNT	UNTHSC	UNT Dallas	
FY17 Audits Requiring FY18 Audit Hours:									
INTERNAL AUDIT	FINANCIAL	Minor Capital Projects	Evaluate the adequacy of controls and processes surrounding minor capital projects to ensure the funds are expended appropriately, projects are financed adequately and completed timely.	100		X			Financial; Operational; Contract Compliance; Economical and Efficient Use of Resources
MGMT REQUEST	FINANCIAL	Community Counseling	Determine whether patient health information was adequately protected in accordance with the Texas Medical Records Privacy Act (Texas House Bill 300/ Texas Health & Safety Code § 181) and if cash handling processes/procedures provide an adequate system of internal controls to help ensure compliance with	100				X	Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	ACADEMIC	Scholarships Review (outsourced)	Assess the effectiveness of processes in place for the management of scholarships and related funds.	100				X	Compliance; Reputational; Operational
		Total FY18 Hours Allocated for FY17 Audit Projects		300					
FY18 Hours Allocated for FY18 Audit Projects:									
REQ-BOARD OF REGENTS	COMPLIANCE	Chancellor's/President's Expenditure Reviews	Evaluate whether travel, entertainment, and business expenses are in compliance with System/University policies, employment agreement provisions, state and federal laws as required by employment agreements.	400	X	X	X	X	Compliance; Reputational; Financial; Operational
REQ-REGENT RULES AND ENTERPRISE POLICIES	COMPLIANCE	Investments	Evaluate controls surrounding the investing activities are effective; as well as adherence with System Regulation 08.2000, UNT System Board of Regents Rule 10.100, and Public Funds Investment Act (PFIA) including State Auditor's Office (SAO) Article III, Rider 5 reporting requirements.	400	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE	Student-Managed Investment Fund (SMIF)	Assess compliance with the donor agreement between UNT and Colonel Guy M. Cloud, Jr. related to SMIF.	150		X			Compliance; Reputational; Financial; Operational
REQ-REG AGENCY	COMPLIANCE	THECB Faculty Development Center Award	Assess whether THECB program funds were expended in accordance with the terms and conditions of the FDC State Grant Agreement requirements and the FMRP Guidelines for Funding Operational and Support Programs.	300			X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE	THECB Plaza Medical Center Family Medicine Residency Program (FMRP)	Verify that the institution is in compliance with the FMRP Agreement requirements and the FMRP Guidelines for funding.	300			X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE	Cancer Prevention and Research Institute of Texas (CPRIT) (outsourced)	Determine compliance with the CPRIT grant contract, CPRIT administrative rules and applicable statutory requirements, grant budget, terms and conditions of the awards, CPRIT Policies and Procedures Guide and internal policies and procedures. Audit is outsourced since IA cannot render an independent opinion.	50			X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE	Senate Bill 20 Mandated Internal Audit	Internal Audit is required under SB 20 regulations to review contracting process for adherence to requirements on annual basis.	500	X				Compliance; Reputational; Financial; Operational; Regulatory

University of North Texas System Internal Audit FY18 Annual Internal Audit Plan (pg. 2)

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Source	Functional Area	Title of Audit	Description and Audit Objectives	Hours in Total	Component Institution				Identified Risk
					System	UNT	UNTHSC	UNT Dallas	
INTERNAL AUDIT	ACADEMIC	Scholarships Review	Review scholarships for compliance with purpose, eligibility requirements, University/System policies, state and federal laws.	200			X		Compliance; Reputational; Operational
MGMT REQUEST	ACADEMIC	Health Center/Counseling Center Audit	Determine whether patient health information is adequately protected in accordance with System/University policies, and state and federal laws. Determine whether cash handling processes and procedures provide adequate internal control to ensure compliance with System/Universities policies.	400		X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	Provost Transition Audit	Review processes, procedures and controls for cashing handling, purchasing, travel expenses, and asset inventory is in compliance with University/System policies and regulations.	250		X			Compliance; Reputational; Financial; Operational
MGMT REQUEST	FINANCIAL	School of Health Professions Financial Review	The purpose of this audit will focus on processes pertaining to revenue received, how they are expended, and whether it is allocated appropriately.	400			X		Financial; Operational
MGMT REQUEST	FINANCIAL	College of Pharmacy Financial Review	The purpose of this audit will focus on processes pertaining to revenue received, how they are expended, and whether it is allocated appropriately.	400			X		Financial; Operational
INTERNAL AUDIT	FINANCIAL	Minor Capital Projects Construction Audit	Review the controls related to construction processes including vendor bidding, insurance, change orders, and project funding.	600		X			Compliance; Reputational; Financial; Operational;
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Asset Inventory Controls Audit	Determine if IT equipment purchased for UNT Dallas courses is tracked, maintained, and kept current with the latest software to ensure the security and protection of University data and IT assets.	450				X	Financial; Asset Misappropriation; Economical and Efficient Use of Resources; Safeguarding of Assets
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Business Continuity Planning	This audit will focus on the maturity and readiness of Business Continuity Planning (BCP) at the academic environment level of IT.	650		X	X	X	Information Technology Security; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	NCAA	NCAA Compliance	Review to be determined in athletic compliances areas (e.g., coaching limits, student recruitment, coaching contracts, etc.).	200		X			Regulatory; Reputational; Compliance with Policies; Operational
MGMT REQUEST	STUDENTS	Student Awareness and Training- Lab Safety	Student participation in research, including activities conducted in instructional and research lab facilities, is an important part of the student educational experience. Review the process mandating students attend laboratory safe practices training and assess whether these policy and university practices are being followed and enforced.	900		X	X	X	Student Safety; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	RESEARCH	Grants and Contracts Compliance	Review grants and contracts for compliance with grant conditions, System/University policies, and state and federal laws.	600		X	X		Compliance; Reputational; Financial; Operational;
INTERNAL AUDIT	RESEARCH	Effort Reporting Process	Review effort reporting process for grants for compliance with grant conditions, System/University policies, and state and federal laws.	500		X	X		Compliance; Reputational; Financial; Operational;

University of North Texas System Internal Audit FY18 Annual Internal Audit Plan (pg. 3)

DRAFT



Source	Functional Area	Title of Audit	Description and Audit Objectives	Hours in Total	Component Institution				Identified Risk
					System	UNT	UNTHSC	UNT Dallas	
INTERNAL AUDIT	UNALLOCATED HOURS-UNTS		Represents audit hours designated for institutional use but individual audit projects have not been determined. Audit projects will be identified over the course of FY18 to be responsive to managements' high risk and high impact areas (E.G., shared services, business process reviews, fraud hotline investigations, etc.).	1,300	X				Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
INTERNAL AUDIT	UNALLOCATED HOURS-UNT		Represents audit hours designated for institutional use but individual audit projects have not been determined. Audit projects will be identified over the course of FY18 to be responsive to managements' high risk and high impact areas (E.G., shared services, business process reviews, fraud hotline investigations, etc.).	1,500		X			Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
INTERNAL AUDIT	UNALLOCATED HOURS-UNTHSC		Represents audit hours designated for institutional use but individual audit projects have not been determined. Audit projects will be identified over the course of FY18 to be responsive to managements' high risk and high impact areas (E.G., shared services, business process reviews, fraud hotline investigations, etc.).	800			X		Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
INTERNAL AUDIT	UNALLOCATED HOURS-UNT Dallas		Represents audit hours designated for institutional use but individual audit projects have not been determined. Audit projects will be identified over the course of FY18 to be responsive to managements' high risk and high impact areas (E.G., shared services, business process reviews, fraud hotline investigations, etc.).	1,500				X	Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets
INTERNAL AUDIT	UNALLOCATED HOURS-IT		Represents audit hours designated for institutional use but individual IT audit projects and data mining have not been determined. IT audit projects will be identified over the course of FY18 to be responsive to managements' high risk and high impact areas.	3,720	X	X	X	X	Information Technology Security; IT System Network Authorization and Access; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INTEGRITY UNIT	Integrity Unit - Annual Audit Hours	Investigates allegations of fraud, waste, abuse, ethical misconduct and operational inefficiencies received directly by Internal Audit and through referrals by the State Auditor's Office and the UNT and UNTHSC hotlines. Investigators work in tandem with the Office of General Counsel, University police departments, Human Resources, University Compliance Offices, and university financial and management functions to ensure control weaknesses are addressed.	2,912	X	X	X	X	Financial; Operational; Asset Misappropriation; Economical and Efficient Use of Resources; Compliance with Policies; Safeguarding of Assets; Employee Misconduct, Conflicts of Interest; Reputational
REG-IIA PROFESSIONAL STANDARDS		Follow-Up of Prior Audits	The IIA Professional Standards for internal auditing require auditors to follow-up on implementation of recommendations included in prior audit reports.	612	X	X	X	X	Due Diligence
Total FY18 Hours Allocated for FY18 Audit Projects				19,994					
Grand Total of FY18 Hours Allocated for Audit Projects				20,294					

University of North Texas System Internal Audit FY18 Annual Internal Audit Plan (pg. 4)

DRAFT



Source	Functional Area	Title of Audit	Description and Audit Objectives	Hours in Total	Component Institution				Identified Risk
					System	UNT	UNTHSC	UNT Dallas	
FY18 Hours Allocated for Value-Added Management Services:									
		IA Quality Assurance Review Recommendation Triage	Implementation of recommendations resulting from Quality Assurance Review performed in FY17. (E.G. audit process improvements, department policies and procedures, and audit methodologies)	200					
		Workgroup - Payroll and Employee Benefit Process Review	Work to evaluate the Payroll and Employee Benefit Processes resulting from Gradient Solutions work presented at Aug BOR meeting.	40					
		Workgroup - Journal Entry Process Review	Work with Finance team to evaluate the Journal Entry process to ensure process alignment with generally accepted accounting principles.	60					
		Workgroup - PCI DSS Compliance Process Review	Work with cross functional team to establish a PCI program is viable and sustainable.	80					
		Workgroup - UNTHSC Information Security/Privacy Committee	Provide audit and IT security consulting services as a member of UNTHSC Information Security/Privacy Committee.	40					
		Workgroup - Co-Sourcing with PwC	Work closely with PwC on Risk Assessment process and any/all audits that result from the process. Provide consulting, guidance and direction.	40					
		Workgroup - NextGen	Post implementation follow-up. Implementation scheduled for July 2017.	75					
		Workgroup - Clinical Billing, Coding and Revenue Cycle Compliance Committee/UNTHSC Compliance Committee	Reviews billing revenue cycle of UNTHSC, denials, number of days in accounts receivable. Reviews trends to discuss, monitor and determine how improvements can be made on a monthly to annual bases. Also identifies process breakdowns.	50					
		UNT Workgroups/Committee/Staff Meetings	Participation and involvement in work groups, committees, and staff meetings with UNT management.	83					
		Workgroup - UNT Academic Computing Workgroup	Lead a workgroup of IT representatives from each college focusing on the achievement of IT objectives in support of UNT strategic goals.	40					
		Workgroup - PeopleSoft Grants Billing and Account Receivable	Provide audit and process oversight services to ensure system development life cycle processes are in place and are being followed.	40					
		Resource/Training - Subject Matter Experts to Stakeholders on Business and IT Processes, Policies and Procedures	Provide insight, consulting and advisory services to Stakeholders across the Enterprise.	325					
		Resource - Academic Course Faculty Supplemental Presentation	Present and facilitate discussion for the UNT Internal Audit ACCT 5450 Class.	10					
		Resource - Shared Services Presentation	Group participation in Business Shared Services Financial Management Overview.	19					
		Ad Hoc Requests from Management	Unplanned support and training requests throughout FY18.	362					
		Total FY18 Hours Allocated for Value-Added Management Services		1,464					
		Total FY18 Hours Allocated for Audit Projects and Value-Added Management Services		21,758					

FY18 Internal Audits Co-Sourced with PwC

Supplementing existing staff to leverage additional IT and subject matter expertise.

- IT Enterprise-Wide Risk Assessment (completing overview phase and determining additional audits based on final review)
 - Phase I – Gain high level understanding of the IT architecture/systems supporting the Enterprise
 - Phase II – Perform a series of technical workshops/interviews to identify internal and external high risks threatening the Enterprise
 - Internal Audit IT Audit FY18 focused on academic computing/internal processes
- Data Analytics (automated tool-focused on best practice identified risk areas)
- Assessment of Enterprise-Wide Internal Control Structure (automated tool)
- IT Role Based Access (on-boarding, off-boarding, position migration, guests, vendors)



Title: FY18 UNT System Compliance Risk Assessment and Work Plan

Background:

The Audit Committee has requested that the Compliance offices conduct risk assessments and prepare annual work plans for consideration by the Committee each August. The Compliance officers have conducted risk assessments and prepared the attached work plan for consideration and approval by the Board.

Financial Analysis/History:

There are no financial implications associated with the FY18 UNT System Compliance Risk Assessment and Work Plan.

Janet Waldron

Digitally signed by Janet Waldron
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ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US

Date: 2017.08.07 18:11:14 -0500

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.10 14:02:03 -0500

Vice Chancellor/General Counsel

Schedule: FY18

Recommendation:

It is recommended that the UNT System Board of Regents approve the attached FY18 UNT System Compliance Risk Assessment and Work Plan.

Recommended By:

Steven A. Hill I

UNT System Compliance Officer

**Tracy C.
Grunig**

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Chief Audit Executive

Lee
Jackson

Digitally signed by Lee Jackson
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ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.08.09 09:16:15 -05'00'

Chancellor

Attachments Filed Electronically:

- FY18 UNT System Compliance Risk Assessment and Work Plan



Board Order

Title: FY18 UNT System Compliance Risk Assessment and Work Plan

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

Whereas, the Compliance offices have conducted risk assessments and prepared annual work plans,

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

1. FY18 UNT System Compliance Risk Assessment and Work Plan
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

FY18 UNT System Consolidated Compliance Risk Assessment and Work Plan

Risk Assessment Approach

The following information describes the approach used and the high-risks that have been identified by UNT System, UNT, UNTHSC, and UNT Dallas executive and senior management along with System Compliance, both Institutional Compliance offices, and System Internal Audit, as a result of an enterprise-level risk assessment conducted for FY18.

The risk assessment model was designed to identify a risk universe (risk menu) that represented the total population for the UNT System. There was a method for determining the priority of each risk using a low, medium, or high ranking format. The risk assessment model included considerations in addition to management's concerns and input which was identified via an interview with specific executive management and other key leaders.

During the FY18 Risk Assessment and Work Plan process, System and both Institutional Compliance Offices will continue to focus its risk identification and monitoring efforts exclusively on Compliance Risks, which is included in risk area (or category) item # 1 below – Regulatory/Legal/Compliance/Fraud).

The risk assessment model identified the following five general risk areas (or categories):

1. Regulatory/Legal/Compliance/Fraud
2. Reputational
3. Operational
4. Financial
5. Information Technology

This risk assessment approach identified high-risks for each institution, categorized as Compliance Risks. Compliance Risks are mitigated via a partnership between senior management and the applicable UNT System component Compliance office. Management and mitigation of risks at the institutional level includes quarterly monitoring and reporting through each UNT System component to the UNT System Board of Regents by executive management, the applicable Compliance office, and the senior management official that is responsible for each applicable risk.

A senior management official is designated as the responsible party for each Compliance high-risk. The action taken by this official's area and the applicable component Compliance office to address each Compliance Risk is reported to the UNT System Board of Regents in the quarterly consolidated Compliance report (in Section II) until the risk has been fully resolved. Once a Compliance Risk is fully resolved, each risk may then be referred to as a "controlled risk." The term "controlled risk" warrants reduced monitoring by the applicable campus Compliance office from quarterly up to a period not to exceed two years, depending on the nature of the risk.

The terms High, Medium, and Low, represented by the letters "H", "M", and "L", are used in the proposed lists of high-risks for each campus and refers to the ranking of the risk. The first letter refers to the "impact" of the risk on the organization and its effect on the achievement of goals and objectives, should the risk occur. Impact takes into account the severity of adverse effects, the magnitude of a loss, or the potential opportunity cost should a risk be realized.

The second letter refers to the “likelihood” or the probability of the risk happening. A “HH” reflects a high impact and high likelihood (or probability) risk. A “HM” would reflect a high impact and medium likelihood risk. A “HL” reflects a high impact and low likelihood risk. The following information provides general guidance pertaining to impact and likelihood (or probability).

Impact (Severity)

- **High Impact** – If the risk occurs, the institution may not achieve its objective or to do so will require major damage control.
- **Medium Impact** – If the risk occurs, the institution will have to perform extra work or will be less efficient, but the institution can still achieve its objective.
- **Low Impact** – If the risk occurs, the institution is aware of it but it will have little or no effect upon operations or the achievement of the objective.

Likelihood (Probability)

- **High Probability** – It is likely to happen often.
- **Medium Probability** – It is likely to happen but not often.
- **Low Probability** – It is unlikely to happen at all.

Methodology for Identifying Current High-Risks

Enterprise Risk Management (ERM) is a continuous, proactive and systematic process to first identify, understand, manage, and communicate business risk from an organization-wide perspective.

System Compliance and both Institutional Compliance Office's follow a revised version of the Assurance Continuum Risk Management Model developed by David and Justina Crawford. Characteristics of this revised model are:

- Every employee from executive and senior management to first line employees have the opportunity to be involved in the process.
- The risk assessment included direct interviews with specific executive management and other key leaders.

System Compliance and both Institutional Compliance's approach towards risk assessment was to adopt a risk-based approach as part of its risk assessment strategy because compliance resources are limited. Priorities were established to determine the appropriate allocation of compliance monitoring resources for these risks.

Additional Strategies Used in High-Risk Identification

- Through direct discussion between System Compliance and both Institutional Compliance office's with Director-level management and above, and System Internal Audit.
- By comparison with common industry high-risks, internal research results from industry publications, electronic resources, and consultation with national compliance peers.

- By reviewing the work plan of the Office of Inspector General for the Department of Health and Human Services to determine if any particular area included in their plan needs to be addressed by any UNT System component.
- Through direct discussion with UNT Health Science Center Compliance Council Division Directors (which is also reflective of UNT Health Science Center Executive Management).

The compliance risks listed in the following series of work plans will be monitored during FY18 by executive and senior level management and their respective Compliance offices. These work plans are presented to the UNT System Board of Regents for approval. Upon Board approval, the actions taken and the progress made towards addressing each risk will be reported to the Board on a quarterly basis within the UNT System Consolidated Compliance Report during the period of September 1, 2017 through August 31, 2018. The risks listed in the following work plans appear in the order of highest to lowest compliance risks for each institution.

UNT System Work Plan

There are four (4) Compliance Risks that were re-confirmed during the FY18 risk assessment process. Electronic Information Handling was re-named as Electronic Information Mis-Handling to more accurately reflect the source of this risk. These risks will continue to be managed as a result of meetings between the responsible party and System and/or Institutional Compliance. Progress towards addressing each risk will continue to be reported on a quarterly basis to the UNT System Board of Regents via the UNT System Consolidated Compliance Report until each risk is resolved.

List of UNT System High-Risks

Compliance Risks

1. Required Compliance Related Training – **MH**
 - Risk: Inability to ensure that all required compliance related training is being conducted within the applicable timeframe and in a manner that provides proof of training completion.
2. Electronic Information Mis-Handling – **MM**
 - Risk: Inability to defend electronic information from unauthorized access, use, disclosure, disruption, modification, perusal, inspection, recording or destruction.
3. I-9 Compliance – **MM**
 - Risk: Inability to ensure that the organization has a process in place that ensures that I-9 processing is completed within the required timeframe and all reporting is also completed within the time allowed.
4. Records Management and Retention – **MM**
 - Risk: Inability to maintain and dispose of records in accordance with the UNT System Consolidated Records Retention Schedule.

UNT Work Plan

There are fourteen (14) compliance risks that were re-confirmed during the FY18 risk assessment process. However, the compliance risk “Emergency Planning & Preparedness and Business Continuity” were divided into two (2) separate compliance risks. There is the compliance risk “Emergency Planning & Preparedness” and an additional compliance risk “Business Continuity.” Electronic Information Handling was re-named as Electronic Information Mis-Handling to more accurately reflect the source of this risk. There are now fifteen (15) compliance risks. These risks will continue to be managed as a result of meetings between the responsible party and System/Institutional Compliance. Progress towards addressing these risks will continue to be reported quarterly to the UNT System Board of Regents.

List of UNT High-Risks

Compliance Risks

1. Time and Effort Reporting – **HM**
 - Risk: Inability to prevent inappropriate payroll charges to a project, ensure that PI's meet their committed effort, ensure that no discrepancies exist between salary pledged and paid, and ensure that no cost sharing errors exist.
2. Grants Management – **HM**
 - Risk: Inability to ensure that all transactions associated with a sponsored project is in accordance with applicable government regulations, UNT policy, and sponsor terms and conditions.
3. Research Conflict of Interest – **HM**
 - Risk: Nondisclosure of a significant outside financial interest that is related to research.
4. Environmental Compliance – **MH**
 - Risk: Inability to prevent under normal business practices a System campus from exceeding Environmental Protection Agency (EPA) established thresholds for Resource Conservation and Recovery Act (RCRA) metals.
 - Risk: Inability to prevent under normal business practices a System campus' grease interceptors (associated with food cooking and vehicle washing facilities) from exceeding Environmental Protection Agency (EPA) established thresholds for fats, oil, and grease (FOG).
5. Required Compliance Related Training – **MH**
 - Risk: Inability to ensure that all required compliance related training is being conducted within the applicable timeframe and in a manner that provides proof of training completion.
6. Electronic Information Mis-Handling – **MM**
 - Risk: Inability to defend electronic information from unauthorized access, use, disclosure, disruption, modification, perusal, inspection, recording or destruction.

7. I-9 Compliance – **MM**
 - Risk: Inability to ensure that the organization has a process in place that ensures that I-9 processing is completed within the required timeframe and all reporting is also completed within the time allowed.
8. Protecting Minors Participating in UNT Related Activities – **MM**
 - Risk: Inability to protect minors participating in camps, programs, and/or activities associated with a UNT unit.
9. Laboratory Inspections and Follow-Up – **MM**
 - Risk : Someone does not follow procedures or regulations resulting in death, injury, or property damage.
10. HIPAA Compliance – **MM**
 - Risk: Non-compliance with the Health Insurance Portability and Accountability Act and other privacy protections associated with the Health Information Technology for Economic and Clinical Health (HITECH) Act.
11. Business Continuity – **MM**
 - Risk: Not being able to continue essential functions & operations.
12. Radiation Safety – **MM**
 - Risk: Non-compliance with the Texas Department of State Health Services (TDSHS) and all applicable state radiation safety regulations.
13. Records Management and Retention – **MM**
 - Risk: Inability to maintain and dispose of records in accordance with the UNT System Consolidated Records Retention Schedule.
14. Emergency Planning & Preparedness – **ML**
 - Risk: Emergencies (weather related, Bomb, active shooter, extended power outage) will not be managed properly.
15. Individual Conflict of Interest – **LM**
 - Risk: Possible nondisclosure of a significant outside financial related interest that may be tied to the employee's position.

UNT Health Science Center Work Plan

The following information outlines the risks that will be monitored and reported to the Board of Regents as a result of this work plan that UNT Health Science Center Institutional Compliance and the Institutional Compliance Council Division Directors plan to follow during Fiscal Year (FY)18. The remaining risks will be monitored through the Institutional Compliance Committee on a quarterly basis.

There are six (6) Compliance Risks that were reconfirmed during the FY18 risk assessment process, one of which was elevated from “medium” to “high” (Time and Effort Reporting) during FY16.

These risks, and the other risks identified in the Compliance Work Plan, will be monitored by the Institutional Compliance Office and the Institutional Compliance Council. Progress towards addressing each risk will continue to be reported on a quarterly basis to the UNT System Board of Regents.

Title IX Compliance and HR Policy Project continue to be monitored at a lower level until fully resolved by the Compliance Office through the Institutional Compliance Committee.

There are two (2) Compliance Risks that were revised as a result of the FY18 risk assessment process. These risks will continue to be monitored by the Institutional Compliance Office and the Institutional Compliance Council. Progress towards addressing each risk will continue to be reported on a quarterly basis to the UNT System Board of Regents. One Compliance Risk that was revised included property control and encryption of Institutional IT assets.

List of UNTHSC High-Risks

Compliance Risks

1. 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.

- 2a- Control and Encryption of all Institutional Devices purchased. – **HM (REVISED)**

Description: Review of the purchase, control and encryption process of all UNTHSC IT equipment purchased and accessing the network.

2. 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. (NOTE: This risk was elevated from “Medium” to “High” in FY16.)

3. 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.

4. Fair Pay Practices (Human Resources) – **HM**

Description: The Dept. of Labor’s rules and regulations that govern overtime for non-exempt employees were changed. UNTHSC will revise policies and procedures and re-classify employees in order to comply with the changes.

5. Contract Administration (Finance)– **HH (REVISED)**

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. Review process of Fair Market Value (FMV) for all UNTHSC contracts.

6. Non-Compliance with 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.

7. Distance Education (Academic Affairs) – **HM**

Description: Distance Education is highly regulated by state and federal law. UNTHSC monitors compliance with regulatory requirements.

8. Physical Safety on Campus (Operations) – **HM**

Description: The UNTHSC Police Dept., in conjunction with other depts., manages and monitors the campus in order to provide a safe environment for students, visitors and employees.

UNT Dallas Work Plan

There are six (6) Compliance Risks that were re-confirmed during the FY18 risk assessment process. Electronic Information Handling was re-named as Electronic Information Mis-Handling to more accurately reflect the source of this risk. These risks will continue to be managed as a result of meetings between the responsible party and System/Institutional Compliance. Progress towards addressing these risks will continue to be reported on a quarterly basis to the UNT System Board of Regents.

List of UNT Dallas High-Risks

Compliance Risks

1. Grants Management – **HM**
 - Risk: Inability to ensure that all transactions associated with a sponsored project is in accordance with applicable government regulations, UNT policy, and sponsor terms and conditions.
2. Required Compliance Related Training – **MH**
 - Risk: Inability to ensure that all required compliance related training is being conducted within the applicable timeframe and in a manner that provides proof of training completion.
3. Electronic Information Mis-Handling – **MM**
 - Risk: Inability to defend electronic information from unauthorized access, use, disclosure, disruption, modification, perusal, inspection, recording or destruction.
4. Emergency Planning & Preparedness and Business Continuity – **MM**
 - Risk: Emergencies (weather related, Bomb, active shooter, extended power outage) will not be managed properly.
 - Not being able to continue essential functions & operations.

5. Protecting Minors Participating in UNT Dallas Related Activities – **MM**
 - Risk: Inability to protect minors participating in camps, programs, and/or activities associated with a UNT Dallas unit.
6. Records Management and Retention – **MM**
 - Risk: Inability to maintain and dispose of records in accordance with the UNT System Consolidated Records Retention Schedule.

UNT System Component Controlled Risks

The following risks have acceptable controls in place or are no longer considered a high-risk as a result of the FY18 risk assessment process. A “controlled risk” is a Compliance Risk that has been resolved and is then subject to monitoring for a period not to exceed two years from the date the risk is removed from the high risk list, depending on the nature of the risk. Quarterly reporting of these risks will terminate with the exception of any applicable close-out summary reviews that would document the final status of compliance with a particular risk.

UNT System Controlled Risks – (Monitoring for a period not to exceed two years, which replaces quarterly monitoring)

1. Fire and Life Safety – **ML**
2. Protecting Minors Participating in UNT System Related Activities – **ML**

UNT Controlled Risks – (Monitoring for a period not to exceed two years, which replaces quarterly monitoring)

1. Federal and State Regulatory Compliance – **LL**
2. Payment Card Industry Compliance – **MM**
3. Family Medical Leave Act (FMLA) – **ML**
4. Human Subject Research Monitoring – **LL**
5. Fire and Life Safety – **ML**
6. Chemicals of Interest – **ML**
7. Export Controls – **ML**

UNTHSC Controlled Risks – (Monitoring for a period not to exceed two years, which replaces quarterly monitoring)

1. Incident-to-Billing (Clinical Division) – **MM**
2. Use of Human Subjects (Research Division)– **ML**
3. Conflict of Interest (Research Division)– **ML**

4. Nondiscrimination/Equal Employment (Human Capital Management Division) – **ML**
5. Sexual Harassment (Human Capital Management Division) – **ML**
6. Emergency Planning & Business Continuity (Operations Division) – **MM**
7. Department of Education and other Governmental Financial Aid Reports (Student Affairs Division) – **ML**
8. Student Data Reports for Homeland Security – International Students (Student Affairs Division) – **ML**
9. Compliance with Procurement Card Program requirements (Finance Compliance transitioning to Business Service Center) – **ML**
10. Use of After the Fact Procurement (Finance Compliance transitioning to Business Service Center) – **ML**
11. Fraud- Use of Foundation Money for Personal Use (Community Engagement Division) – **ML**
12. HIPAA Violation: Improper Fundraiser Disclosure of Patient Information (Community Engagement Division) – **MM**
13. Unauthorized Access to protected Institutional Data (Academic Information Resource Division) – **ML**
14. Malicious Code/Virus Disruption of Information Technology Services (Academic Information Resource Division) – **ML**
15. Enforcement of Faculty Bylaws (Academic Affairs Division) – **LL**
16. Faculty Reporting (Academic Affairs Division) – **LL**
17. Disability Accommodation (Student Affairs Division) – **HM**
18. Reconciliation of Fund Balances between UNTHSC and UNTHealth (Finance Division) – **HL**
19. Grants Management: Time and Effort Reporting (Research Division) (FY 2012) – **HM**
20. Grants Management: Sub recipient Monitoring (Research Division) (FY 2012) – **HM**
21. Radiation Safety (Safety Office Division) – **MH**
22. Chemical Safety (Safety Office Division) – **MH**
23. Notice of Privacy Practices (Clinical Division) – **HM**

24. Risk Management Program for Texas State Agencies – Life Safety, Workers Compensation (Safety Division) – **MH**

25. Title IX Compliance (Student Affairs Division) – **HM**

26. Human Resources (“HR”) Policy Project (Human Resources) – **HH**

UNT Dallas Controlled Risks – (Monitoring for a period not to exceed two years, which replaces quarterly monitoring)

1. Fire and Life Safety – **ML**

FY18 - UNT System-Wide Consolidated Risk Assessment and Work Plans

**Audit Committee
Board of Regents Meeting**

August 17, 2017

Risk Assessment & Work Plans

- Senior official is designated as the responsible party for each risk. Quarterly risk mitigation actions are reported to the Audit Committee and Board until the risk is fully resolved, when it becomes a controlled risk. Controlled risks continue to be managed by the responsible party but those quarterly actions are no longer reported to the Audit Committee and Board.
- IC will review the risk within a period not to exceed two years from the date the risk is removed from the high-risk list.
- Risks are listed in the order from highest risk to the lowest risk, not necessarily in the order based on the two-letter risk ranking (HH, HM, MH, etc.), that follows each risk. The first letter refers to the “impact” of the risk on the organization’s ability to achieve its goals and objectives, should the risk occur. The second letter refers to the “likelihood” or probability of the risk occurring.

The UNT System Administration work plan consists of four (4) compliance risks that were reconfirmed during this year’s risk assessment process:

1. Required Compliance Related Training - MH
2. Electronic Information Mis-handling - MM
3. I-9 Compliance - MM
4. Records Management and Retention - MM

The UNT Dallas work plan consists of six (6) compliance risks that were reconfirmed during this year’s risk assessment process:

- | | |
|--------------------------------------------------------------------|-------------------------------------------------------------------|
| 1. Grants Management - HM | 2. Required Compliance Related Training - MH |
| 3. Electronic Information Mis-handling - MM | 4. Emergency Planning & Preparedness and Business Continuity - MM |
| 5. Protecting Minors Participating in UNTD Related Activities - MM | 6. Records Management and Retention - MM |

Risk Assessment & Work Plans

The University of North Texas work plan consists of fourteen (14) compliance risks that were reconfirmed during this year's risk assessment process. However, "Emergency Planning & Preparedness and Business Continuity" were divided into two separate risks.

- | | |
|----------------------------------------------|-------------------------------------------------------------------|
| 1. Time and Effort Reporting - HM | 2. Grants Management - HM |
| 3. Research Conflict of Interest - HM | 4. Environmental Compliance - MH |
| 5. Required Compliance Related Training - MH | 6. Electronic Information Mis-handling - MM |
| 7. I-9 Compliance - MM | 8. Protecting Minors Participating in UNT Related Activities - MM |
| 9. Lab Inspections and Follow-up - MM | 10. HIPAA Compliance - MM |
| 11. Business Continuity - MM | 12. Radiation Safety - MM |
| 13. Records Management and Retention - MM | 14. Emergency Planning & Preparedness - ML |
| 15. Individual Conflict of Interest - LM | |

The University of North Texas Health Science Center work plan consists of eight (8) compliance risks that were reconfirmed during this year's risk assessment process. However, two (2) risks were revised to reflect additional information that will need to be assessed.

- | | |
|-------------------------------------------------------------------------------|----------------------------------------------------------|
| 1. Unauthorized Access to Protected Inst Data/HIPAA Privacy and Security - HM | 2. Time and Effort Reporting - HM |
| Control and Encryption of all Institutional Devices Purchased - HM (Revised) | |
| 3. Billing and Coding in Compliance with State and Federal Law - HH | 4. Fair Pay Practices - HM |
| 5. Contract Administration - HH (Revised) | 6. Non Compliance with CMS 1115 Waiver Requirements - HM |
| 7. Distance Education - HM | 8. Physical Safety on Campus - HM |

Quarterly Report of Audit Activities

Activities reflected within are as of June 30, 2017

Summary Statement

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

- Highlights of Internal Audit Activity - 4th Quarter 2017
- Audit and Management Advisory Services Reports Issued Matrix
- University of North Texas System Internal Audit FY17 Annual Audit Plan
- FY17 Allocation of Audit Hours per UNTS Component Institution
- Summary of Follow-up Activity
- Detail for Follow-up Activity

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

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

Highlights of Internal Audit Activity - 4th Quarter 2017

- **FY18 Annual Risk Assessment and Development of FY18 Annual Internal Audit Plan**
- **Staff Achievement**
 - One staff member obtained CISM certification
- **Co-sourced and partnered with PwC on IT Enterprise-Wide Risk Assessment**

Audit and Management Advisory Services Reports Issued Matrix



Audit Name	Component Institution				Risk Rating	Audit Score	Identified Risk
	UNTS	UNT	UNTHSC	UNT Dallas			
Retirement Contributions	X						Compliance; Reputational; Financial; Operational; Regulatory
Student Data Access	X						Compliance; Financial; Operational; Reputational
Conflict of Interest	X						Contract Compliance; Reputational; Financial; Operational; Regulatory
Status Report - Senate Bill 20 Mandated Internal Audit Assessment	X						Compliance; Reputational; Financial; Operational; Regulatory
UNT-International Student Sponsorships Review		X					Compliance; Financial; Operational; Reputational; Regulatory
Residence Hall - Student Safety Practices Audit		X					Student Safety; Operational; Compliance with Policies; Reputational
Behavioral Analysis PhD Program Review		X					Financial; Operational; Reputational
Texas College of Osteopathic Medicine Financial Review			X				Financial; Operational
Cancer Prevention and Research Institute of Texas (CPRIT) Funds for FY 2016 - outsourced			X				Compliance; Financial; Operational; Reputational; Regulatory
Graduate School of Biomedical Sciences Financial Review			X				Financial; Operational
(1) Investigation (1 case report)							

University of North Texas System Internal Audit FY17 Annual Audit Plan



Source	Functional Area		Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
						UNTS	UNT	UNTHSC	UNT Dallas	
REQ-REG AGENCY	COMPLIANCE		Cancer Prevention and Research Institute of Texas (CPRIT) (outsourced-BKD)	Final Draft Report	August 2017			X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE		Conflict of Interest	Final Draft Report	August 2017	X				Contract Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE		Status Report - Senate Bill 20 Mandated Internal Audit Assessment	Final Draft Report	August 2017	X	X	X	X	Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	Texas College of Osteopathic Medicine Financial Review (TCOM)	Final Draft Report	August 2017			X		Financial; Operational
MGMT REQUEST	FINANCIAL	U	Graduate School of Biomedical Sciences (GSBS)	Final Draft Report	August 2017			X		Financial; Operational
MGMT REQUEST	FINANCIAL	U	Behavioral Analysis PhD Program Review	Final Draft Report	August 2017		X			Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	Retirement Contributions	Final Draft Report	August 2017	X				Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U	International Student Sponsorships Review	Final Draft Report	August 2017		X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	STUDENTS		Residence Hall - Student Safety Practices	Final Draft Report	August 2017		X			Student Safety; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY		Student Data Access (FY16 AAP)	Final Draft Report	August 2017	X				Reputational; Operational
REQ-REG AGENCY	COMPLIANCE		Student-Managed Investment Fund (SMIF) (outsourced-PwC)	Draft Report			X			Compliance; Reputational; Financial; Operational
INTERNAL AUDIT	FINANCIAL	U	International Travel	Draft Report			X			Compliance; Operational; Reputational
INTERNAL AUDIT	FINANCIAL		Minor Capital Projects	Draft Report			X			Financial; Operational; Contract Compliance; Economical and Efficient Use of Resources
MGMT REQUEST	FINANCIAL	U	Community Counseling Clinic Transition Audit	Draft Report					X	Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL		Financial Review of UNTHSC Reserves (outsourced-PwC)	Draft Report				X		Financial; Operational; Reputational
INTERNAL AUDIT	FINANCIAL		Scholarships Review (outsourced-PwC)	Draft Report					X	Compliance; Reputational; Operational
MGMT REQUEST	FINANCIAL	U	College of Music Transition Audit	Draft Report			X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	INFORMATION TECHNOLOGY	U	Classroom Support Services	Draft Report			X			Compliance; Operational; Reputational

University of North Texas System Internal Audit FY17 Annual Audit Plan (pg. 2)

Source	Functional Area	Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
					UNTS	UNT	UNTHSC	UNT Dallas	
MGMT REQUEST	ACADEMIC	Enrollment Audit (outsourced-PwC)	In-Process			X	X	X	Student Safety; Financial; Operational
MGMT REQUEST	FINANCIAL	U Lifelong Learning & Professional Development (LLPD) Business Process Audit	In-Process			X			Compliance; Reputational; Financial; Operational; Regulatory
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Risk Assessment (outsourced-PwC)	In-Process		X				Compliance; Reputational; Operational
MGMT REQUEST	MANAGEMENT ADVISORY SERVICES	Registrar's Office Business Process	In-Process					X	Reputational; Operational; Compliance with Policies
REQ-BOARD OF REGENTS	COMPLIANCE	Chancellor's/President's Expenditure Reviews	Issued	November 2016	X	X	X	X	Compliance; Reputational; Financial; Operational
REQ-REG AGENCY	COMPLIANCE	Joint Admissions Medical Program (JAMP)	Issued	November 2016		X			Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U School of Public Health	Issued	November 2016			X		Financial; Operational
INTERNAL AUDIT	INTEGRITY UNIT	(10) Investigations - (5 formal reports, 5 case reports)	Issued	November 2016		X	X		Personnel Issues
REQ-REGENT RULES AND ENTERPRISE POLICIES	COMPLIANCE	Investments	Issued	February 2017	X	X	X	X	Compliance; Reputational; Financial; Operational
REQ-REG AGENCY	COMPLIANCE	THECB Plaza Medical Center Family Medicine Residency Program (FRMP)	Issued	February 2017			X		Compliance; Reputational; Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U College of Visual Arts and Design Transition Audit	Issued	February 2017		X			Financial; Operational; Regulatory
MGMT REQUEST	FINANCIAL	U Management Administrative Review	Issued	February 2017				X	Financial; Operational; Regulatory
INTERNAL AUDIT	INTEGRITY UNIT	(11) Investigations - (5 formal reports, 6 case reports)	Issued	February 2017		X			Personnel Issues; Cash Loss; Management Oversight
INTERNAL AUDIT	COMPLIANCE	THECB Faculty Development Grant (outsourced-PwC)	Issued	May 2017			X		Compliance; Financial; Operational; Reputational
INTERNAL AUDIT	INTEGRITY UNIT	(9) Investigations - (3 formal reports, 6 case reports)	Issued	May 2017		X			Management Oversight; Reputational
MGMT REQUEST	INFORMATION TECHNOLOGY	Health Care Data Security - assigned to a work group	Value Added Resource to Management				X		Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INTEGRITY UNIT	Resource Protection Program Review	Value Added Resource to Management			X	X	X	Reputational; Asset Misappropriation; Physical Safety
INTERNAL AUDIT	INTEGRITY UNIT	Inventory Control Review	Value Added Resource to Management			X	X	X	Reputational; Asset Misappropriation; Compliance with Policies; Financial; Economical and Efficient Use of Resources

University of North Texas System Internal Audit FY17 Annual Audit Plan (pg. 3)



Source	Functional Area	Title of Audit	Status	Presented at Audit Committee	Component Institution				Identified Risk
					UNTS	UNT	UNTHSC	UNT Dallas	
MGMT REQUEST	FINANCIAL	Revenue Cycle-Billing Cycle	Cancelled				X		Financial; Operational; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Virtual Server Environments	Cancelled		X				Information Technology Security; Safeguarding of Assets; Operational; Compliance with Policies; Reputational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	Vulnerability Scanning & Penetration Testing Review	Cancelled		X				Information Technology Security; IT System Network Authorization and Access; Operational; Compliance with Policies; Reputational
MGMT REQUEST	STUDENTS	Student Awareness and Training - Lab Safety	Defer to FY18			X	X	X	Student Safety; Operational; Compliance with Policies; Reputational
MGMT REQUEST	NCAA	NCAA Compliance	Defer to FY18			X			Regulatory; Reputational; Compliance with Policies; Operational
FY16 Audits Issued in FY17:									
REQ-REG AGENCY	COMPLIANCE	FY15 Cancer Prevention and Research Institute of Texas (CPRIT) (outsourced-BKD)	Issued	November 2016		X	X		Compliance; Reputational; Financial; Operational; Regulatory
REQ-REG AGENCY	COMPLIANCE	Benefits Proportionality (outsourced -PwC)	Issued	November 2016		X	X	X	Reputational; Financial; Operational
INTERNAL AUDIT	COMPLIANCE	Selected Grants Review - National Science Foundation	Issued	November 2016		X			Compliance
MGMT REQUEST	FINANCIAL	Toulouse Graduate School	Issued	November 2016		X			Compliance with Policy; Operational
MGMT REQUEST	FINANCIAL	Athletics Department - Business Process Review	Issued	November 2016		X			Compliance with Policy; Operational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Privacy and Data Protection	Issued	November 2016	X	X		X	Data Security; Sensitive and Confidential Information
INTERNAL AUDIT	COMPLIANCE	Endowments (outsourced - PwC)	Issued	February 2017		X			Compliance; Reputational; Financial; Operational
INTERNAL AUDIT	INFORMATION TECHNOLOGY	IT Change Management	Issued	February 2017		X	X		Compliance; Financial; Operational

FY17 Allocation of Audit Hours per UNTS Component

	UNTS	UNT	UNTHSC	UNT Dallas	Total
Allocated Audit Hours	2,475	2,793	3,191	2,041	10,500
Unallocated Audit Hours	1,225	3,650	3,650	2,475	11,000
Total Audit Hours Available	<u>3,700</u>	<u>6,443</u>	<u>6,841</u>	<u>4,516</u>	<u>21,500</u>
Unallocated Audit Hours	1,225	3,650	3,650	2,475	11,000
Audit Projects Completed:					
College of Visual Arts and Design Transitional Audit		269			
Management Administrative Review				106	
International Student Sponsorships Review		566			
Financial Review of Graduate School of Biomedical Sciences			614		
Financial Review of Texas College of Osteopathic Medicine			1,213		
Retirement Contributions Audit	770				
Sub-total	<u>770</u>	<u>835</u>	<u>1,827</u>	<u>106</u>	<u>3,538</u>
Audit Projects In Process:					
College of Music Transitional Audit		350			
Classroom Support Services		151			
Community Counseling Clinic Transitional Audit				124	
Sub-total	<u>0</u>	<u>501</u>	<u>0</u>	<u>124</u>	<u>625</u>
Audit Projects Identified:					
Accounts Payable	400				
Student Payroll Audit		400			
College of Information Dean's Follow-Up Audit		200			
College of Pharmacy Financial Review F18 Audit Plan			450		
Financial Review of School of Health Professions FY18 Audit Plan			400		
Office of Finance Transitional Audit			450		
Office of Provost Transitional Audit			450		
Sub-total	<u>400</u>	<u>600</u>	<u>1,750</u>	<u>0</u>	<u>2,750</u>
Management Advisory Services:					
Information Technology	24	221	55		
Investigations	1	52	9		
Behavioral Analysis PhD Program		122			
Sub-total	<u>25</u>	<u>395</u>	<u>64</u>	<u>0</u>	<u>484</u>
Remaining Unallocated Audit Hours Balance	30	1,319	9	2,245	3,603

This recap is only through June 30, 2017. Audit hours charged in July and August 2017 are not reflected above. In addition, unallocated hours were used for audits on the FY17 Annual Audit plan, including; Residence Hall; Minor Capital Projects; and IA Quality Assurance Review (QAR).

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	11	0	(3)	8	8	0
UNT	14	0	(8)	6	4	2
UNTHSC	21	0	(13)	8	8	0
UNT Dallas	4	0	(4)	0	0	0
Total	50	0	(28)	22	20	2

Questions?

UNT-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Moderate</p> <p>Report Name: Toulouse Graduate School Audit</p> <p>Report Number: 16-401 UNT</p> <p>Component Institution: UNT</p> <p>Department: Toulouse Graduate School</p> <p>Brief Description of Audit: Internal Audit performed an audit of the UNT Toulouse Graduate School at the request of the Interim Dean. The Toulouse Graduate School leads graduate education at UNT through a variety of services and programs designed to enhance the educational experience of graduate students.</p>	<p>Internal Audit was unable to locate any University policies that directly address the use of the Graduate School Application fee.</p> <p>Recommendation for Vice Provost of the Toulouse Graduate School:</p> <p>1a. Consult with the Vice President for Finance and Administration to develop a policy specifying appropriate uses for the Graduate School application fee.</p>	<p>Historically the majority of the application fee was used to fund staff positions in the Toulouse Graduate School. Within the last six months the funding of these staff lines were adjusted so that the staff directly responsible for application processing are paid from the application fee account. This is consistent with the intended use of the funds. In addition the residual funds will be directed toward processing of applications and the associated expenses. However, the application fee and the staff on that fee have moved under admissions and, consistent with the change in the budget line, we communicated with the VP of Enrollment Management and the Executive Director of Admissions about the need to continue the staff funding from the application fee account. In addition, with the transfer of the application fee account to the Executive Director of Admissions, the Graduate School communicated the expected outcomes and recommendations of this audit to the Executive Director so that policy development can be fulfilled by the new account holder.</p> <p>Party responsible for implementation: Rebecca Lothringer, Executive Director of Admissions</p> <p>Expected Implementation Date: January 15, 2017 Revised Implementation Date: August 31, 2017</p>	<p>7 months past due</p> <p>The policy is going through the approval process with the Policy Advisory Group.</p>

UNT-Detail for Follow-up Activity

Audit Information	Finding and Recommendation(s)	Management Response(s)	Status
<p>Auditor: Internal</p> <p>Reporting Agency: UNT System Internal Audit</p> <p>Risk Category: Government and Regulatory Compliance</p> <p>Risk Level: Moderate</p> <p>Report Name: Business Process Operations – Athletic Department</p> <p>Report Number: 16-408 UNT</p> <p>Component Institution: UNT</p> <p>Department: Athletics</p> <p>Brief Description of Audit: Internal Audit completed a review of the Business Process Operations for the UNT Athletic department. This audit was performed at the request of UNT Management.</p>	<p>The following observations were noted with regards to Endowed Athletic Scholarships:</p> <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. <p>Recommendation for Associate Athletic Director, Compliance:</p> <p>7c. Written minutes should be maintained on Athletics endowed scholarship committee meetings.</p>	<p>Athletics will maintain official records for actions taken at committee meetings for endowed scholarships.</p> <p>Party responsible for implementation: Scott Hobbs, Sr. Associate Athletics Director – Compliance</p> <p>Expected Implementation Date: February 1, 2017 Revised Implementation Date: August 31, 2017</p>	<p>7 months past due</p> <p>The next scholarship committee meeting will take place in August 2017. Therefore, meeting minutes will not be recorded until that time.</p>

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"			
	Recommendations				Recommendations				Recommendations				Recommendations			
	# of Audits	Total	Open	Closed	# of Audits	Total	Open	Closed	# of Audits	Total	Open	Closed	# of Audits	Total	Open	Closed
UNTS	3	16	8	8	5	31	0	31	2	2	0	2	1	2	0	2
UNT	5	16	4	12	9	63	2	61	6	12	0	12	0	0	0	0
UNTHSC	4	17	5	12	4	47	3	44	4	5	0	5	0	0	0	0
UNTD	1	2	0	2	2	41	0	41	2	2	0	2	0	0	0	0
Total Internal Audit Activity	13	51	17	34	20	182	5	177	14	21	0	21	1	2	0	2

	Fiscal Year 2017				Fiscal Year 2016				Fiscal Year 2015				"Prior Years" or "Fiscal Year 2015 and Prior"			
	Recommendations				Recommendations				Recommendations				Recommendations			
	# of Audits	Total	Open	Closed	# of Audits	Total	Open	Closed	# of Audits	Total	Open	Closed	# of Audits	Total	Open	Closed
Conducted by UNTS Component Institutions	0	0	0	0	1	1	0	1	2	3	0	3	0	0	0	0
State Auditor's Office	1	5	0	5	4	9	0	9	3	5	0	5	0	0	0	0
Other External Agencies	17	309	55 ³	254	22	284	6 ²	278	28	218	1 ¹	217	0	0	0	0
Total Other Audit Agencies	18	314	55	259	27	294	6	288	33	226	1	225	0	0	0	0

¹ Texas Comptroller of Public Accounts Post-Payment Audit: Recommendation - System should verify months of service data for its employees and enhance its internal controls to prevent incorrect longevity payment amounts. In addition, the System should verify all personnel files and ensure that prior state service is properly verified and documented for its employees.

² Comprised of the following: 5 State Office of Risk Management recommendations; 1 State Fire Marshal's Office recommendation.

³ Comprised of the following: 1 State Office of Risk Management recommendation; 42 State Fire Marshal's Office recommendations; 12 Ventilation Assessment recommendations.

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 August 17, 2017.

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

UNTS Enterprise Audit Report Inventory

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

UNTS Enterprise Audit Report Inventory

Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	EXPERIS	Fiscal Year 2013	Information Technology	UNT Health Science Center (UNT HSC) HSC Change Management Assessment	UNTHSC	<p>1. Current Change Management Practices - Based on the documentation provided (e.g., documents listed in Appendix A, email, etc...), it was determined that for the ten applications/services that meet the criteria of being both high risk and institutional in scope(impact), a population of changes could not be evidenced and that Change Management practices were found to be minimal, general in nature and less than expected.</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><u>Recommendations/Activities to Consider for Observations 1 through 4:</u> The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Establish formal, standardized, Change Management procedures to administer all change requests for those applications/services that are both high risk and institutional in scope/impact (e.g. maintenance and patches, changes to hardware, networks, applications, procedures, processes, system and service parameters, and the underlying platforms) 	<p>ITS management agrees with these best practice recommendations and will complete the steps listed below to ensure that all changes to IT systems at UNTHSC are assessed, categorized, comply with TAC guidelines, and as appropriate, follow a formal change process. Formal change processes will be applied to systems or applications that have been classified as high risk (contains or processes private and/or regulated data), and high impact (institutional wide use).</p> <ul style="list-style-type: none"> -Classification and evaluation of high risk/high impact systems and applications will be conducted and reviewed by ITS management, CIO, and stakeholders annually. -ITS has begun a pilot of Microsoft System Center Service Manager(SCSM), a tool for IT service and change management that will hold system and application information, and allow for the tracking and reporting of changes made to those systems and applications identified as high risk/high impact. Estimated completion date for pilot is within the next 6 months. -Change management procedures will be formalized at the completion of the pilot, and with adoption of SCSM or similar tool. Procedures will include approval processes, pre and post testing, and emergency change protocols, and will be reviewed annually by ITS management. -ITS is currently in the process of updating our institutional and internal policies, including Systems Change Control. 	ITS management team - Lynley Dungan, Executive Director of Information Technology Services, Anthony Tissera, Director of Infrastructure and Security, Woody Hagar, Director of Information Services, and Renee Drabier, Vice Provost for Academic Affairs and Development/CIO.	8/31/2014	NA
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><u>Recommendations/Activities to Consider for Observations 1 through 4:</u> The following are considered suggests and not mandates for the applications/services that meet the criteria of being both high risk and institutional in scope (impact):</p> <ul style="list-style-type: none"> -Establish a process for defining, initiating, testing, documenting, assessing and authorizing emergency changes that do not follow the established change process 	<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.</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"> -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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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	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.	NA	The University should: Develop a process to determine each student's COA and financial need based on the student's expected or actual enrollment.	Management has developed a process to determine each student's COA and financial need based on the student's expected enrollment.	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	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.	NA	The University should: 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.	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.	Zelma DeLeon and Lacey Thompson	12/1/2012	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	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	Susan Sims and Connie Ross	2/1/2013	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	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 Krhovjak	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
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

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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	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	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	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	Marci Bailey, Human Resources Director, Denton Campus	1/1/2013	Closed
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	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

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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 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	Allen Clemson, Vice Chancellor for Administration and Chief of Staff	8/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Annual Investments/Commercial Paper	UNT System	Non-Compliance with Yield Percentages of Investment Policy	Moderate	Reviewing the Investment yields and re-balancing the investments to comply with UNT Dallas Investment Policy 10.007, Objective 6.	Investment yields have been and continue to be at historically low levels. We do not anticipate that this condition will persist in the long term. However, please note that UNT System policy 8.20, which was adopted in August 2012, supersedes 10.007 for UNTD, 4.100 for UNT System and successfully resolves the finding noted above. As such, at this point, we feel that no further management action is	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

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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	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; Mehravyn Singh, Chair; Johnny He, Chair; and Jamboor Vishwanatha, Dean.	12/31/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Cash handling is not properly segregated or safeguarded in the Department of Forensic & Investigative Genetics, and cash receipts are not all deposited within one day as required by policy.	Low	Develop and implement cash handling procedures that ensure cash is protected and deposited in a timely manner.	Management agrees. The Chair will work with staff to develop and implement cash handling procedures that ensure cash is protected and deposited in a timely manner.	Art Eisenberg, Chair	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	Three projIDs were overspent and deficits were not cleared within the 90 day close out period.	Low	Require all Pis to submit a default deptID (i.e. the Pis F&A deptID) at the time a projID is established that will be used if the grant is overspent.	Management agrees. OGCM is working with management to implement a process which utilizes the applicable F&A recovery deptID as the default funding source for all projID's.	LeAnn Forsberg, Executive Director, Office of Grant and Contract Management	12/21/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Graduate School of Biomedical Sciences Review	UNTHSC	UNTHSC travel policy regarding partial day meal rates is unclear.	Low	Develop in coordination with the Office of Financial Planning and Budget a clear partial day meal policy for UNTHSC.	Management Agrees. The Business Service Center will submit recommendations to the BSC Operations Committee for standardizing travel policy and procedure across the UNT System. The issue identified above will be addressed.	Susan Sims, BSC Director of Payments	1/31/2013	Closed
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	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	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	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	UNTHSC	Of 12 personal reimbursements to the Dean, 11 were not in full compliance with purchasing policy related to documentation requirements.	Moderate	Ensure personal reimbursements for meals include a list of attendees by name and designation as well as the business purpose.	Management agrees. TCOM will assure full compliance with policy.	Don Peska, Dean of TCOM	10/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses	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

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Texas College of Osteopathic Medicine Dean Expenses	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	7/30/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Endowment Review	UNT	Non-Compliance with Memorandum of Understanding (MOU) Requirements of The J.C. Penney Lectureship in Merchandising 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

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Work-Study Student Mentorship Contract	UNT Dallas	Three student workers were paid under the Work-Study Student Mentorship Program without meeting the eligibility requirements. Specifically, two students did not meet the enrollment requirement and one student did not meet the financial need requirement.	Moderate	Develop a consistent process for verifying student eligibility each semester.	Although there is a process in place to determine eligibility before mentors are hired, there is a need to improve the process and modify guidelines. Eligibility will be verified in EIS every semester after the 12th day of class (census day). Mentors will be required to inform the PI of changes in their academic status that may affect their eligibility to continue in the program. They will be required to report the change as soon as it occurs. Mentors will sign an acknowledgment to document that they received the guidelines and agree to follow those guidelines. The financial aid office will continue to determine financial need. The financial aid administrator verifying eligibility will take screen shots of the students need to document their financial aid eligibility.	Gloria B. Bahamon, Assistant Provost for College Readiness	2/28/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Animal Care Review	UNT	Animal care and use training is not sufficiently documented or monitored.	Moderate	Develop a System for monitoring and documenting the type of animal care and use training personnel have received.	ORED and the IACUC Chair will implement requirements for completion of online training for all personnel involved in an animal care and use protocol before the protocol can be approved by the IACUC. This training will be offered through the Collaborative Institutional Training Initiative (CITI) program administered by the University of Miami School of Medicine. Completion of both a CITI basic IACUC course and a species-specific course (as available) will be required.	Dr. Kenneth Sewell, Associate Vice President for Research	By the end of the fall 2012 semester	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Animal Care Review	UNT	The key pad entry code to the Science Research Building's Animal Care Facility is not changed periodically, or when personnel change.	Moderate	Develop a process and procedure for changing the entry codes into the Animal Care Facility of the Science Research Building.	The Office of Research & Economic Development will work with the Facility Manager for UNT's primary animal facility in the Science Research Building to implement a procedure under which the security code for the facility will be changed at least every three months.	Dr. Kenneth Sewell, Associate Vice President for Research	By the end of the fall 2012 semester	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Incorrectly Reporting Employment Waivers – Student Accounting and University Cashiering Services is incorrectly reporting the number of Employment Waivers awarded.	Moderate	Modify the process for Employment Waivers to ensure waivers are properly coded.	Management has modified the business process to ensure Employment Waivers are properly classified and accurately reported in IFRS reporting.	Kayle Godinez, Sr. Director Student Accounting and University Cashiering Services	12/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Incorrectly Reporting Employment Waivers – Student Accounting and University Cashiering Services is incorrectly reporting the number of Employment Waivers awarded.	Moderate	Modify the process for IFRS reporting to ensure Employment Waivers are reported in the correct category, either TEC 54.211 or TEC 54.212.	Management has modified the business process to ensure Employment Waivers are properly classified and accurately reported in IFRS reporting.	Kayle Godinez, Sr. Director Student Accounting and University Cashiering Services	12/1/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	SAUCS, the Graduate School, and the Provost's Office should coordinate to identify a process for independent review/approval of Employment Waivers; and	Change wording of the Section 2.2.10 of the UNT Policy Manual to reflect the Employment Waiver must be signed by dean of the graduate school or "her or his designee."	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Employment Waiver Review	UNT	Insufficient Review and Approval – There is not sufficient, independent review and approval of Employment Waivers prior to processing.	Moderate	The designated independent reviewer/approver should ensure that Employment Waivers are awarded in accordance with eligibility requirements.	Change Employment Waiver form to include three questions to help programs determine eligibility. Change Employment Waiver form to include graduate dean's signature.	Mark Wardell, Dean, The Toulouse Graduate School	8/1/2013	Closed
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

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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,	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,	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Student Worker Review	UNT	The Controller's Office does not notify an employee's supervisor and Vice President of indebtedness to the University as required by UNT Policy 2.2.26, Employee Indebtedness Owed to the University. Additionally, Student Accounting and Cashiering Services (SACS) is not sending a report detailing employee indebtedness to the Controller's Office, as required by UNT Policy 2.2.26.	Low	The Controller's Office should continue their process of evaluating and revising UNT Policy 2.2.26 to ensure compliance with UNT Policy 18.1.9 FERPA.	Suggested Management Action 4: We believe that the current policy as submitted complies with FERPA requirements. Once adopted, we will review the policy periodically (not less than every 5 years) for amendment as needed.	Carlos Hernandez, Ed D, CPA, Associate VP for Finance and Controller	11/1/2012	Closed
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

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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
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.	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	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

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Gifts and Grant Management – University gifts and grants are being inconsistently managed and monitored.	Moderate	Update UNT Dallas policies and procedures where applicable based on the updated agreement. Coordinate training for Advancement and faculty personnel from ORS to detail roles and responsibilities regarding grant management.	University Advancement agrees to update department policies and procedures after the meeting with ORS has concluded.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Update and reconcile current gift processing procedures with UNT policies and procedures already established. Ensure UNT policies and procedures are followed and referenced where required in relation to any and all intra-system cooperation agreement and accreditation requirements.	University Advancement continues to assess gift processing procedures to ensure they meet the highest industry standards that ensure safety, privacy and documentation. University Advancement will update and document controls and processing procedures that reflect Raisers Edge implementation.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Update and document controls and processing procedures for gifts in the new Raiser's Edge fundraising and donor management system. Work with UNT Advancement personnel to implement the new system and coordinate user access and data entry procedures and controls.	University Advancement commits to update and document controls and processing procedures that reflect Raisers Edge implementation, the new relationship with UNT Dallas Foundation, and staffing resources.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dallas Gift Review	UNT Dallas	Procedures for managing, tracking, monitoring and reporting gifts are currently being developed in conjunction with the implementation of the Raisers Edge software system.	Moderate	Determine any changes to management reporting based on the implementation and use of the new system.	University Advancement commits to assess and continually update gift processing procedures.	Doug Smith, Vice President for University Advancement and Beverly Mendoza, Manager of Advancement Services	1/9/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Segregation of Duties – One individual was recording, depositing, and reconciling the cash received in the UCD Student Store.	Moderate	To the extent staffing levels permit, separate the duties of collecting, recording, depositing, and reconciling cash receipts among different individuals.	Monica Castillo will be in charge of duties during store operating hours. She will make all deposits and sign off on receipts at the end of the day. Araceli Cadena & Eva Randles will count the money every Friday morning before bank deposit is made. (Araceli is the only key holder to the safe deposit box.) Eva Randles will write the bank deposit slip and Araceli will make the deposit to Wells Fargo and return a receipt to Eva Randles to confirm correct deposit was made. Eva Randles will continue to email a UCD Student Store report that includes a detailed bank deposit slip, and any shortages or overages relevant for the week.	Monica Castillo, UCD Student Store Cashier Eva Randles, Office Manager Araceli Cadena, Coordinator of Recruitment and Advising	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Purchasing Cards – The use of purchasing cards was not consistent with policy.	Moderate	Follow the Purchasing Card Guide, specifically as it relates to: • Use of card for UNT business purposes only; • Completing Controlled Item Code Equipment Forms; • Unacceptable purchases such as memberships; and • Keeping a receipt for every purchase on file.	Review items before purchasing to identify that they are within Purchasing Card guidelines.	Berri O'Neal, Executive Director for the Universities Center at Dallas Monica Rodriguez, Assistant to the Executive Director Eva Randles, Office Manager Araceli Cadena, Coordinator of Recruitment and	9/14/2012	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UCD Cash Loss Review	Universities Center at Dallas	Petty Cash – The change fund was used as petty cash.	Moderate	Follow policy as it relates to the use of petty cash: • Reimburse the change fund; and • Create a petty cash fund through PPS.	Universities Center at Dallas does not plan on creating a petty cash fund through PPS. UCD will continue to store \$100 in change for the register which is never to be used as petty cash. Only one individual has access to the change box used for the register at the UCD student store. The change fund was reimbursed and continues to have a balance of	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	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	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	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Chancellor's Expenditure Review	UNT System	Internal Audit observed a proactive approach to monitoring expenses and reimbursements, with a strong attention to detail and adherence to policy. This level of detail was evidenced through support documentation retained by the Office of the Chancellor. No observations were made during the review that required management action.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA Minimum Agreed Upon Procedures	UNT	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	HSC President's Expenses Review	UNTHSC	Travel, entertainment, and business expenses for which the President was reimbursed, or that were paid on behalf of the President during fiscal year 2012, were in compliance with UNTHSC policies and the employment agreement. Additionally, expenditures reviewed were reasonable, appropriate, and documented as to business purpose.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Vice Chancellor and General Counsel Expenditures Review	UNT System	Based on the results of the procedures performed, Internal Audit noted the following: <ul style="list-style-type: none"> • Travel expenditures reimbursed to the Vice Chancellor and General Counsel were deemed appropriate, reasonable, and in compliance with UNT System Travel Policy 04-901 and UNT Travel Policy 2.1.15. • Travel expenditures for the employees of the Office of General were also deemed appropriate, reasonable, and in compliance with travel policies. • The Right to Travel form is prepared for out of state travel. • P-card purchases are performed by one p-card holder and reviewed by the p-card reconciler and approver. • Non-travel expenditures were deemed appropriate for the Office of General Counsel. • The process and procedure for selecting outside legal counsel includes a review by the Texas Attorney General's office. • Outside legal counsel invoices are reviewed by the requesting department, Office of General Counsel, and the Texas Attorney General's office. 	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 non-compliance with the BSC program guidelines were noted:	Moderate	Require purchasing cardholders, reconcilers and approvers to attend BSC-provided PCard training; and emphasize the importance of complying with purchasing guidelines, University policy, and state	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

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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	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	Marcia, Staff, Chair of Finance, Insurance, Real Estate and Law	8/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Audit – The Student Investment Group did not ensure that an annual audit was performed by UNT accounting majors as required by the donor agreement.	Moderate	Develop strategies to engage accounting and auditing students to perform the annual audit.	Chair of FIREL will meet with the chair of the Department of Accounting to discuss means of encouraging participation in SIG and the audit function by accounting majors. Implementation and compliance rests ultimately with the	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	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	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

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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 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/scan invoicing and how we can streamline a	Suzan Cruz, Business Manager	9/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	OSMP has not completed a Space Inventory Survey since 2009 which was conducted by Facilities.	Moderate	Suggested Management Action for Director of Office of Space Management and Planning: Conduct periodically a Space Inventory Survey preferably annually if possible, and update information into the Space Management System data base in order to ensure that information recorded in the data base is complete and accurate.	Agreed at time of observation however Survey is currently in progress. OSMP has invested more than a year in discovery, specification and development of an expanded and more robust system that will not only allow us to complete a yearly space survey but will enable UNT to collect and disseminate valuable data that will benefit Research Services, the Registrar, Facilities, Risk Management, HR, Classroom Support, Asset Management and virtually every other unit on campus. Additional auditee comments: OSMP currently maintains the data for and completes THECB and Federal required reporting for the UNT Denton and Dallas campuses as well as some of the space occupied by the System. The combined total of approximately 7.3 million square feet of space, according to industry standards for staff required for CAFM systems, should require 3-4 people full time to maintain it after initial setup. At this time OSMP has 1 FTE dedicated to the role of system development project management and maintenance	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	Cheryl Benningfield, Space Inventory Manager	5/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Space Planning Review	UNT	OSMP does not have detailed operational written procedures addressing the assignment and re-assignment of University space.	Low	Suggested Management Action for Director of Office of Space Management and Planning: Develop detailed written departmental procedures, outlining the OSMP operational processes and controls.	Agreed at time of observation however certain written procedures have since been written. 1. OSMP now has written procedures for communications and processes concerning the Space Assessment Committee and Administration approval/non-approval of such requests. 2. Detailed written procedures have been completed for the Space Inventory Survey process and were published online in April, 2013. Additional written OSMP operational procedures have been identified and are being developed at this time.	Jessica Shumate, Office Manager	12/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Meters - Parking operations does not have adequate controls over parking meter receipts. Under current procedures employee theft could occur and remain undetected. Reported Receipts from meter parking for fiscal year 2012 were \$448,884.	High	Parking and Transportation Services management should consider the following management actions: Do not provide keys to personnel responsible for collection of receipts which will allow them access to those receipts.	1. Agreed. Individuals collecting each meters locked storage container do not have access to the container. Once the coinage is dumped into the larger locked collection container via a mechanical process the meter coinage collection container is returned to the meter. The locked collection container is then returned to the Parking Office when collections are complete. The individuals collecting the coinage do not have access to the locked collection	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	6/30/2013	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	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	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. •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. •West Exit Booth – not operable, no power pad to perform transactions, currently out for repair. •West Exit Verifier (stand- alone equipment) – not operable, Internal Power Pad needs repair. In addition, access card reader not operable. •Middle Exit Booth – partly operable, Power Pad is able to process locally, however the local system has lost the ability to communicate information to the Scan Net data base. •Pay-Station Equipment – not operable, Power Pad needs repair.	Moderate	Determine whether to either maintain current garage operational systems and repair necessary equipment, or replace applicable equipment and/or software to meet the expectations and needs of the University parking garage operations.	Agreed. PTS is working with our software provider T2 Systems, Inc. to develop a plan to maintain current garage operational systems and repair necessary equipment. The plan will include replacing applicable equipment and software to meet the expectations and needs of the University parking garage operations.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	There is no reconciliation of the physical inventory of permits kept in the office to permits sold.	Moderate	Maintain a physical inventory record of permits with cumulative balances noting beginning balances, purchased additions, and permit removals for each type of parking permit stored and locked in the storage cage area and also for permits maintained in the cabinet in the front sales area.	Agreed. The maintaining of the physical inventory record of permits with cumulative balances noting beginning balances, purchased additions, and permit removals for each type of parking permit stored and locked in the storage cage area and also for permits maintained in the cabinet in the front sales area is being developed.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	There is no reconciliation of the physical inventory of permits kept in the office to permits sold.	Moderate	Reconcile office inventoried permit usage to office sales documentation.	PTS will reconcile office inventoried permit usage to office sales documentation	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Parking Services Review	UNT	Parking Office credit card receipts are not being reconciled to source transaction activity recorded in the T-2 and Scan-Net systems.	Moderate	Reconcile Parking Office credit card receipts to original source transaction activity. Implementation will ensure that credit card revenues are recorded and reconciled to transaction source documentation.	Agreed. PTS will reconcile Parking Office credit card receipts to original source transaction activity.	Geary L. Robinson, Ph.D., CAPP Director, Parking and Transportation Services	10/31/2014	Closed
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: • 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

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Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	None of the departments that process cash receipts were in compliance with UNT Policy 2.1.10.1 Cash Controls. Two departments had no written procedures and two other departments had inadequate written procedures.	Moderate	Request assistance and a review by Student Accounting and University Cashiering Services.	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	Enrollment Management Audit	UNT	The Student Financial Aid and Scholarships department does not redact bank account information on checks before scanning into Image Now.	Low	Amend the check receipting process to include redacting the bank account number and bank routing number before scanning into Image Now.	We will follow-through with the suggestion management action plan.	Dr. Elizabeth With, Vice President for Student Affairs	9/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	UNT Dallas Facilities Certification Review	UNT Dallas	Overall, based on the results of procedures performed, the facilities development projects and acquisitions of real property complied with rules established by the Texas Administrative Code and within the parameters specified in the project applications that were submitted to THECB.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	Students received scholarships from the Texas Apartment Association (TAA) that were not processed through the Office of Student Financial Aid and Scholarships (SFAS). Students enrolled in the Residential Property Management (RPM) degree program offered by the Department of Finance, Insurance, Real Estate and Law (FIREL) are eligible to apply for a scholarship from the TAA. Scholarships awarded by TAA are sent directly to the student. Consequently, the awards are not processed through SFAS.	Low	Recommendations for Chair of the FIREL Department: Coordinate with the Office of Financial Aid to determine if receipt of the TAA scholarships resulted in any over-awards in federal financial aid and if so, adjustments should be resolved and reported as required. Implementation will provide assurance that scholarships awarded by the Texas Apartment Association will be coordinated and processed through the Office of Student Financial Aid and Scholarships; compliance with Federal Regulations, University policy, SFAS guidelines, and MOU requirements will be achieved; and the overall control environment will be strengthened.	2: The donor established its own nonprofit organization to provide scholarships to students and makes the awards totally independent of the University. Management has no direct knowledge of which students receive the scholarships or in what amounts. To the best of management's knowledge and belief, the funds are paid directly to the students. However, management has no direct knowledge of any such receipt. Since the scholarships are provided by an independent third party, students are required to report the scholarship amounts to SFAS. Management is not aware of any mechanism by which it is required to and/or can report scholarships made by third parties to UNT students of which management has no direct knowledge. Management agrees to consult with the UNT Office of Financial Aid to determine University policy and procedures related to any required reporting of scholarships made to UNT students by third parties when the award is not made by the department or program and is administered by an independent third party. Management agrees to comply with the policies and procedures prescribed by the Office of Financial Aid.	Marcia J. Staff, Chair, FIREL	1/27/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	Recommendations for Director of the Professional Leadership Program (PLP): Administer endowment distributions in accordance with provisions of the MOU.	We agree that the procedure was not followed, although the donor was consulted for approval. 3. We will consult the UNT General Counsel to determine whether corrective action is needed for the award that was made.	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed
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

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	The scholarship committee waived the minimum 3.25 GPA requirement to award a scholarship to a student.	Low	<p>Recommendations for Director of the Professional Leadership Program (PLP):</p> <p>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</p>	<p>We agree that the procedure was not followed, although the donor was consulted for approval.</p> <p>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.</p>	Marilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<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 policies related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed

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

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Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	Finance and Administration Expense Review	UNT Dallas	<p>Numerous instances of non-compliance were noted regarding travel, reimbursement, and PCard transactions. For the travel and reimbursements transactions reviewed totaling approximately \$11,000 (FY 2011, 2012, and 2013), Internal Audit observed the following:</p> <ul style="list-style-type: none"> •The Request to Travel (RTT) form was not consistently present, signed, and/or complete (11 instances); •Receipts were not consistently provided and were missing (22 instances); and, •Supporting documentation was unorganized and/or not retained. <p>In general, Internal Audit observed numerous business related meals, books, and electronic accessories purchased and subsequently reimbursed.</p> <p>For PCard transactions reviewed totaling approximately \$135,000 (January 2012 – April 2013), Internal Audit also observed the following:</p> <ul style="list-style-type: none"> •Food and Beverage Purchase justifications forms not consistently used (27 instances); •Exception Request Forms not used for restricted purchases (three instances); •Split purchases were observed (six instances totaling approximately \$12,000); •Restricted purchases observed such as recurring satellite cable provider and security system bills and notary fees (three instances); •Sales tax was charged (11 instances); and 	Moderate	<p>Suggested Management Actions for the Vice President for Finance and Administration/CFO:</p> <p>Continue to develop and refine campus specific policies related to travel and business related reimbursements for all employees. This could include limits and or detailed expectations on business meals and other business related purchases. Implementation of these suggested actions will help assure compliance with PCard guidelines, as well as improve the overall control environment in the UNT Dallas Finance and Administration Office and campus.</p>	<p>We concur. PCard holder and reconciler will attend BSC PCard training and will document expectation that cardholder will comply with BSC policies and procedures. Reconciler will monitor utilization trends and notify management of activity that should be transitioned to requisition process. The campus will ensure compliance with BSC policies related to travel and business related reimbursements instead of establishing separate practices.</p>	J. Carlos Hernandez, Vice President for Finance and Administration/CFO	12/1/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Governance and Regulatory Compliance	NCAA Compliance Review – Eligibility Certification	UNT	<p>The review and testing of operational processes and controls indicated that business procedures and controls pertaining to the determination of student-athlete eligibility certification are effective and operating as intended. For the sample tested, information recorded and maintained to determine student athlete eligibility for the Fall 2012 and Spring 2013 semesters was accurate.</p> <p>The Office of the Registrar and the Athletics department are proactive in ensuring that the University has complied with NCAA eligibility requirements and maintain accurate information used in determining student-athlete eligibility. Meetings are often held between the two departments to ensure UNT compliance. The Office of the Registrar recently developed a control schedule called "Student-Athlete Checklist for Continuing Students" to assist in documenting that NCAA requirements have been met. Internal Audit noted a need to improve the recording of signatures and dates on some supporting documentation; this was discussed during the Exit Meeting.</p>	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Dining Services A/P Audit	UNT	<p>UNT Dining Services is not verifying that they have been billed in accordance with the contract terms with Ben E. Keith.</p> <p>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.</p> <p>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</p>	Moderate	<p>Suggested Management Action for the Executive Director of Dining Services:</p> <p>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.</p> <p>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.</p>	<p>We will be conducting periodic audits of the Ben E. Keith invoices and verifying the 6.5% margin is being enforced.</p>	Suzan Cruz, Business Manager	2/1/2014	Closed

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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	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 Krhovjak, Assistant Director for Research Accounting	11/30/2013	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP: <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. In our sample of withdrawals for research or training	Moderate	Suggested Management Action For Controller and Chief Budget Officer: Develop comprehensive cash handling policies and/or procedures that ensure cash is safeguarded. The procedure should include processes for: Maintaining a chain of custody, storing cash in a safe, entrance into the safe, disbursing cash to patients, returning all unused funds, and establishing an independent reconciliation.	Management agrees that UNTHSC does not have comprehensive procedure for cash handling, although there is a procedure for handling petty cash. Management will develop a general policy for instances that are outside the scope of petty cash. The suggestion will be made to the BSC Director of Purchasing to add instructions regarding securing funds to the simulated patient and research participant procedures.	Kim Schaade, Associate Controller	1/31/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	UNTHSC does not have comprehensive policies and/or procedures for cash handling. While the Office of Accounting has a cash handling procedure, it does not give specific detail on maintaining of cash balances in a department (i.e. maintaining a record of custody, entrance procedures for a safe, distribution of cash payments, and independent reconciliation). The following was observed regarding cash handling in the SHP: <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. In our sample of withdrawals for research or training	Moderate	Suggested Management Action For Controller and Chief Budget Officer: Ensure the cash handling policies and/or procedures are distributed to all department personnel handling cash.	Management agrees that UNTHSC does not have comprehensive procedure for cash handling, although there is a procedure for handling petty cash. Management will develop a general policy for instances that are outside the scope of petty cash. The suggestion will be made to the BSC Director of Purchasing to add instructions regarding securing funds to the simulated patient and research participant procedures.	Kim Schaade, Associate Controller	1/31/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling.</p> <p>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).</p> <p>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</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Update departmental cash handling procedures to follow policies and/or procedures developed by the Office of Accounting.</p>	<p>Management Agrees and will ensure that each department has written procedures for handling cash. The suggestions mentioned in Item #4 will be included in the guidelines that the school will present prior to February 28, 2014.</p>	<p>Syndi Espinoza, Assistant to the Chair (PT) Kim Williams, Assistant to the Chair (PA)</p>	02/28/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Academic and Students	School of Health Professions Review Audit	UNTHSC	<p>UNTHSC does not have comprehensive policies and/or procedures for cash handling.</p> <p>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).</p> <p>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</p>	Moderate	<p>Suggested Management Action For Controller and Chief Budget Officer:</p> <p>Determine the funds needed for a three month period and return all excess funds to the original ProjIDs or DeptIDs. Implementation will protect staff members and cash by ensuring that cash is adequately safeguarded.</p>	<p>Management Agrees and will ensure that each department has written procedures for handling cash. The suggestions mentioned in Item #4 will be included in the guidelines that the school will present prior to February 28, 2014.</p>	<p>Syndi Espinoza, Assistant to the Chair (PT) Kim Williams, Assistant to the Chair (PA)</p>	02/28/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2013	Finance	UNT Endowment Review Audit	UNT	<p>Students received scholarships from the Texas Apartment Association (TAA) that were not processed through the Office of Student Financial Aid and Scholarships (SFAS). Students enrolled in the Residential Property Management (RPM) degree program offered by the Department of Finance, Insurance, Real Estate and Law (FIREL) are eligible to apply for a scholarship from the TAA. Scholarships awarded by TAA are sent directly to the student. Consequently, the awards are not processed through SFAS.</p>	Low	<p>Recommendations for Chair of the FIREL Department:</p> <p>Establish procedures to work in conjunction with the TAA to identify recipients of scholarships, ascertain the amount of each scholarship awarded, and direct scholarship payments to the Office of Student Financial Aid and Scholarships for coordination and processing; or consult with the donor, Office of General Counsel, and SFAS to amend the MOU so that the requirements conform to current practice.</p>	<p>1: Management agrees that the following portion of the MOU has not been implemented: "The University agrees to establish a RPM Program scholarship to be funded by the Donor, and to work in conjunction with the Donor to identify candidates and recipients for the scholarship." Since the donor chose to not fund the program, the University could not establish the program scholarship as described in the MOU. Since the program was never created, no scholarships were ever awarded as UNT RPM program scholarships. Management agrees to consult with the donor and the Office of General Counsel to amend the MOU to delete the reference in the statement quoted above.</p>	<p>Michael Braswell, TAA Professor and Marcia J. Staff, Chair, FIREL</p>	3/1/2014	Closed

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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	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	High mercury content in water sample collected.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	On November 1, 2013, a sample of wastewater discharged from the university Chemistry Building (outfall 004) had a value of 0.00478 mg/L of mercury which exceeded the state and local limit of 0.0006 mg/L.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	On October 15, 2013, a sample of wastewater discharged from the university Chemistry Building (outfall 004) had a value of 1.9199 mg/L of copper, which exceeded the state and local limit of 0.84 mg/L.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	On October 25, 2013, a sample of wastewater discharged from the university Discovery Park Building (outfall 005) had a value of 1.3256 mg/L of molybdenum which in excess of the state and local limit of 1.18 mg/L.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	City of Denton	Fiscal Year 2014	Governance and Regulatory Compliance	City of Denton NOV	UNT	High mercury content in water sample collected.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed

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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 	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 	NA	The Foundation should establish a separate bank account to act as an operating account and create procedures for determining that UNTHSC and Foundation funds are deposited in the correct bank account to ensure that funds are properly segregated by legal entity.	Establishment of separate bank account for Foundation operations to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	UNTHSC and the Foundation deposits received and processed by the UNTHSC advancement function are deposited into separate bank accounts owned by UNTHSC and swept nightly into the general operating account for UNTHSC. In addition, UNTHSC and the Foundation share a Federal Employer Identification Number (FEIN). As UNTHSC and the Foundation are separate legal entities, deposits related to the Foundation receipts should not be combined with UNTHSC funds. Specifically: <ul style="list-style-type: none"> • 55 of 60 contributions sampled totaling \$6,403,499.71 were deposited into the UNTHSC bank account that were intended for the Foundation. • Of that amount, 45 contributions totaling \$5,513,999.71 were made payable to the Foundation and 10 contributions totaling \$889,500.00 were made payable to 	NA	Determine the amount of existing Foundation funds held in UNTHSC bank accounts and transfer these funds to the new Foundation bank account once the separate FEIN and letter of determination from the IRS are obtained.	Establishment of separate bank account for Foundation operations to be completed.	Doug White, Vice President UNTHSC Institutional Advancement	8/31/2014	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	10 of 60 contributions sampled totaling \$889,500.00 were written to UNTHSC and deposited to the UNTHSC bank account; however, they were posted to the general ledger as a Foundation contribution as the donor intent indicated the contribution was for the Foundation. The advancement function process consists of depositing contributions based on the donor's intent instead of how the check was made payable.	NA	Donor intent should be followed; however, the check should be made payable to the correct legal entity prior to deposit. Working in collaboration with the Office of General Counsel, the UNTHSC advancement function should establish a process to resolve issues where donors' checks are made payable to a legal entity in contradiction to supporting documentation, such as the donor's letter of intent.	<ul style="list-style-type: none"> • All fundraising materials will state clearly that checks should be made payable to "UNTHSC Foundation" as a first step toward confirming donor intent. • All donor acknowledgement letters to donors will be sent on UNTHSC Foundation letterhead and contain explicit language confirming deposit of funds to the Foundation. • On occasions when checks are made payable to UNTHSC but clear intent is for deposit to UNTHSC Foundation, donor will be contacted to either reissue check or provide written confirmation (email) of intent to make gift payable to Foundation. 	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA

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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	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	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,	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 logging 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	NA	The UNTHSC advancement function should establish a policy and communicate requiring contributions to be recorded in Raiser's Edge within 3 business days of receipt.	Practice has been formalized with appropriate staff.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	7 of 56 general ledger postings sampled totaling \$1,896,910.42 were posted to the clearing or operating DeptID of the advancement function and not to the permanent DeptID. The review process for the clearing account DeptID is not performed monthly and does not receive appropriate approvals. A running balance is maintained in the clearing DeptID and expenditures are being made out of the account, which could potentially misstate the financial position if contributions recorded to this Foundation DeptID are meant for UNTHSC. This issue has also been noted on previous UNTS Internal Audit	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	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	NA	The UNTHSC advancement function should reconcile the Clearing DeptID monthly, and move identified outstanding gifts or deposits to permanent DeptIDs.	Monthly reconciling has been enacted, with all transfers from of the Clearing Dept/D requiring review and approval of the VP of Institutional Advancement.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	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	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
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

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External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	Research and resolve the three exceptions noted.	NA	Doug White, Vice President UNTHSC Institutional Advancement	NA	NA
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	The Foundation should work with the UNTHSC Accounting Office to establish a policy to perform a monthly reconciliation between the general ledger and Raiser's Edge to assess whether contributions recorded in Raiser's Edge were recorded to the correct DeptID in the general ledger.	A monthly reconciliation is now being conducted.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A reconciliation is not performed between the Raiser's Edge system, which acts as a subledger, to the EIS general ledger revenue transactions to assess whether the contributions were recorded to the correct DeptID on the general ledger as indicated by Raiser's Edge. Three contributions analyzed totaling \$30,018.08 were not properly recorded to the general ledger based on how the contribution was recorded in Raiser's Edge.	NA	The Foundation shall provide to the UNTHSC Accounting Office an adequate level of support for all journal entries prior to their posting to the general ledger.	A monthly reconciliation is now being conducted.	Doug White, Vice President UNTHSC Institutional Advancement	NA	Closed
External	Deloitte & Touche in conjunction with UNT System Internal Audit	Fiscal Year 2014	Finance	University of North Texas System - UNTHSC & UNTHSC Foundation Advancement Process Assessment	UNTHSC, UNTHSC Foundation	A policy does not exist requiring an executive level review and approval of transfers from the UNTHSC operating account where general contributions are maintained to the Foundation investment account. Currently, the accounts are owned by UNTHSC and Foundation, respectively, and the legal ownership of the funds change through these transfers. The ability to transfer funds between bank accounts provide for an increased risk to the misuse of	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,	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,	UNT	For 13 (22 percent) of 60 students tested, the University did not accurately report the students' enrollment status to NSLDS.	NA	The University should implement a formal process to accurately report status changes and effective dates for unofficially withdrawn students to NSLDS.	Management is attentive to the U.S. Department of Education requirements associated with Student Status Changes resulting from unofficial withdrawals. Management Response and Corrective Action Plan: Management has implemented business controls to ensure accurate and timely reporting to the National Student Clearinghouse and the National Student Loan Data System for this population of students	Bryan Heard	6/1/2013	Closed
External	State Auditor's Office	Fiscal Year 2014	Finance	State of Texas Compliance with Federal Requirements for the Research and Development Cluster for the Fiscal Year Ended August 31, 2013	UNT	One (1 percent) of 70 direct cost transactions tested at the University of North Texas (University) was unallowable. For 1 (1 percent) of 70 direct cost transactions tested, the University incorrectly calculated the amount of the federal expenditure.	NA	The University should establish and implement procedures to ensure that it does not charge unallowable or incorrect costs to federal awards.	The UNT Business Service Center (BSC) agrees. The BSC has corrected the travel reimbursement and the payroll underpayment. The BSC has established business practices to address the recommendation, which include: <u>Management Response and Corrective Action Plan 2012:</u> -Provided additional training to Travel staff regarding unallowable expenses on federal funds. -Will participate in ongoing collaboration with the UNT Office of Research Services to enhance the audit process of travel expenditures to avoid unallowable charges to federal funds. -ERP (PeopleSoft) system now calculates partial months using an annualized hourly rate of pay (2,080 hours). The manual calculation is no longer necessary. The University has implemented a process to calculate partial month salary payments. Auditors tested a sample of payroll transactions and determined that each transaction was allowable and calculated correctly. However, 1 of 15 travel expenditures tested was unallowable. The University reimbursed gratuity charges as part of a travel reimbursement. <u>2013 Update:</u> The UNT Office of Research Services has a written procedure and training in place covering unallowable expenditures on federal awards, including tips. The employee that approved the travel reimbursement that included the \$19 was already aware of the procedure, but didn't detect the unallowable charge during his regular	Britt Krhovjak 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: Management Response and Corrective Action Plan 2012: -Added a clause/condition to the UNT System Purchase Order Terms and Conditions on 10/26/12. - Provided additional training to Purchasing staff on EPLS Search and documentation requirements on 1/16/13. - Created a procedure to ensure all procurements of at least \$25,000 are documented appropriately and are audited by management daily on 1/22/13. All Business Service Center Purchasing staff will be re-educated on the EPLS requirements and the need to maintain verification documentation. Purchasing Director/Manager will continue to audit for compliance on a daily basis.	Debbie Reynolds, Carolyn Cross, and Tina Koenig	12/16/2013	Closed
External	State Auditor's Office	Fiscal Year 2014	Finance	State Agency, University, and Community College District Compliance with the Public Funds Investment Act and Investment Reporting Requirements	UNT	Not Fully Compliant with the Public Funds Investment Act * (*Source: Findings listed are based upon reviews of the audit reports issued by the universities' internal or external auditors.)	NA	None	NA	NA	NA	NA

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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 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,	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
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-01 Safety: Electrical Safety: GFCI Outlets - SORM noted during the consultation that an outlet in the welding shop within six feet of a sink did not have a GFCI receptacle nor was it on a GFCI circuit.	NA	SORM recommends providing GFCI protection as per the National Electrical Code.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-01 Safety: Fire Safety: Box Stacking in Kitchen Storage Room SORM noted during this consultation that boxes were stacked on racks in the kitchen storage room such that the sprinkler heads would not have the required 18 inches of clearance space needed to function properly, as per the	NA	NA	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT System	14-08-01 Safety: Fire Safety: Fire Wall Penetrations SORM noted during the consultation that some of the fire wall penetrations in the seventh floor electrical room have not been sealed with fire-resistant sealant.	NA	SORM recommends that these areas be sealed with the properly rated fire sealant, as per the NFPA standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-02 Safety: Electrical Safety: Daisy-Chaining Power Strips SORM noted during the consultation that in the manager's office of the kitchen, three power strips were daisy-chained into each other, thereby creating an electrical load-capacity	NA	SORM recommends that UNT-Dallas coordinate with the third-party vendor to ensure that these power strips are not daisy-chained together.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT System	14-08-02 Safety: Policies/Procedures: Documented Scheduled Inspections and Maintenance of Safety Equipment SORM noted during the consultation that the portable fire extinguishers have not been documented as inspected monthly, as per the NFPA standards.	NA	SORM recommends that UNT-System coordinate with the property manager to ensure that the extinguishers and all other safety-related pieces of equipment (such as emergency lighting, eyewash stations, etc.) are properly documented as inspected and/or maintained with a frequency as required by the manufacturer or a recognized safety standard. References: NPFA-101 (2012), "Life Safety Code," Chapters 9.7.4.1 and 39.3.5; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 7 and 8.	NA	NA	NA	Closed

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External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-02 Safety: Walking/Working Surfaces: Load Capacity Signage - SORM noted during the consultation that an overhead storage area in the welding shop was lacking a weight capacity sign, as per the OSHA standard.	NA	SORM recommends that UNT-Denton either: a) determine the load capacity for this area and then post an appropriate sign; or, b) cease storing items in the overhead area.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-03 Safety: Hazard Communication Program: Bottle Labeling and Auxiliary Eyewash Bottles SORM noted that in several locations secondary bottles were unlabeled and auxiliary eyewash bottle-solutions had	NA	SORM recommends that UNT-Denton ensure that these areas meet the OSHA Hazard Communication standard and the ANSI/ISEA eyewash standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-03 Safety: Hazard Communication: OSHA Global Harmonization System (GHS) Training SORM noted during the consultation that the third-party vendor contracted to conduct commercial kitchen operations for the dining services on campus has not conducted OSHA Global Harmonization System (GHS) training for its employees.	NA	SORM recommends that UNT-Dallas coordinate with this vendor and UNT Risk Management Services to ensure that all employees receive this training, as per the OSHA standard. Reference: OSHA, 29 CFR 1910.1200 (2012 Update to Federal Register); United Nations, "Globally Harmonized System of Classification and Labelling of	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-04 Safety: Electrical Safety: Missing Knockouts (Sycamore Hall) SORM noted that in Sycamore Hall, an electrical panel was missing the required "knockouts."	NA	SORM recommends that all blanks in electrical panels are covered by knockouts, as per the National Electrical Code.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT Dallas	14-08-04 Safety: Hazard Communication: Eyewash Stations (Kitchen) SORM noted during the consultation that corrosive chemicals are being used in the kitchen. However, no eyewash stations are provided to comply with the safety instructions on the chemicals' Safety Data Sheets.	NA	SORM recommends that UNT-Dallas install eyewash stations in this area or work with the third-party vendor to remove these chemicals from the workplace, as per the OSHA and ANSI/ISEA standards. UNT-Dallas should ensure that all employees who work with these chemicals, including third-party vendor employees, be trained on the location(s) and operation of these stations once installed. References: OSHA, 29 CFR 1910.1200; OSHA, 29 CFR 1910.151 (c); ANSI/ISEA z358.1 (2009), "Standard for	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-05 Safety: Fire Safety: Fire Wall Penetrations (Hurley Administration Building) - SORM noted during the consultation that several penetrations through a fire wall in the Hurley Administration Building were not properly sealed, as per the NFPA standard.	NA	SORM recommends that UNT-Denton seal the penetrations with the properly-rated sealant.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-06 Safety: Fire Safety: Maximum Occupancy Load Sign - SORM noted during the consultation that a maximum occupancy sign in the Ken Bohlsen Gymnasium was not present.	NA	SORM recommends the posting of this sign as per the NFPA standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-07 Safety: Electrical Safety: Labelling and Knockouts (Music Practice Mechanical Room and Zone Maintenance) - SORM noted during the consultation that electrical panels in the Music Practice Mechanical Room and Zone Maintenance were missing proper labels and/or knockouts.	NA	SORM recommends correcting this deficiency, as per the National Electrical Code.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-08 Safety: Machine Safety: Guarding of Moving Parts (General Academic Building) - SORM noted during the consultation that the large return air fans in the General Academic Building were missing guards for their exposed moving parts.	NA	SORM recommends that the university guard the moving parts, as per the OSHA standard.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-09 Safety: Walking/Working Surfaces: Dumpsters - SORM noted during the consultation that outside of Central Receiving wooden steps have been erected to allow staff members to dump trash into a large dumpster.	NA	SORM recommends that the university destroy these steps and implement a procedure for dumping trash that does not present such a hazard to employee health and safety.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-10 Safety: Walking/Working Surface: Mezzanine Storage - SORM noted during the consultation that items were being stored on top of a metal cage in the Concrete Bay without a load capacity sign.	NA	SORM recommends that the university either remove these items from this location or determine and post the load capacity of the roof of the metal cage.	NA	NA	NA	Closed

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External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-11 Safety: Electrical Safety: Federal Pacific Electric Electrical Panels - SORM noted during the consultation that seven buildings on campus contain Federal Pacific Electric Company electrical panels as part of their electrical systems. These kinds of panels have been noted to present a latent hazard and fire danger by malfunctioning under certain conditions. In addition, this particular manufacturer was found liable in a class-action lawsuit of fraudulently obtaining the Underwriters Laboratory (UL) certification for some of their electrical panels. There is controversy over these panels. Some electricians believe the panels are safe and others believe they are not. UNT-Denton has already begun the process of identifying these panels and replacing them where the budget allows. The others have been placed in the capital plan for replacement when funds	NA	SORM recommends that UNT-Denton consider the feasibility of expediting the funding for this ongoing project. Reference: OSHA, 29 CFR 1910.303 (b)(1)	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-12 Safety: Policies/Procedures: Respiratory Protection Program (Medical) - SORM noted during the consultation that for paint-shop employees, the university is using a third-party vendor to conduct fit-testing for respirators. However, it was not clear whether medical evaluations were being conducted to determine that employees are physically capable of wearing respirators.	NA	SORM recommends that the university review their procedures in this area and ensure that they comply with the OSHA standard. Reference: OSHA, 29 CFR 1910.134	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-13 Safety: Policies/Procedures: Occupational Noise Exposure - SORM noted during the consultation that in the North Chiller Plant noise levels warranted measurement for a potential occupational noise exposure program.	NA	SORM recommends that the university measure all such areas for noise exposure and if they are above the action threshold, then the university should take the additional measures required by OSHA to determine if the exposures are above the action threshold for an 8-hour Time-Weighted Average. If they are, then a compliant hearing conservation program should be implemented.	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-14 Risk Management: Policies/Procedures: Facilities Department Notification - SORM noted during the consultation that there are some building issues (such as I.T. projects) that do not necessarily require the notice of the Facilities Department even though they can affect structural issues within a building.	NA	SORM recommends that the university consider the feasibility of requiring all issues having to do with any aspect of a building's functions to be coordinated through the Facilities Department in some formal manner. Reference: RMTSA Guidelines, Volume II, Section Two,	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-15 Safety: Electrical Safety: Extension Cords, Water, and General Housekeeping (Physical Education Building/Basement & Kinesiology Storage Room) - SORM noted during the consultation that extension cords were being used as a permanent source of power near draining water in the basement of the Physical Education Building, and that old, rusting equipment was being stored in the	NA	SORM recommends that the housekeeping in this area be improved to ensure that these hazards are eliminated. References: OSHA, 29 CFR 1910.305(g)(1)(iii)[A]	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2014	Governance and Regulatory Compliance	On-Site Consultation	UNT	14-08-16 Risk Management: Policies and Procedures: Memorandum of Understanding with Texas State Fire Marshal's Office SORM noted during the consultation that although the university has an excellent, qualified team of fire safety professionals, no Memorandum of Understanding exists between the university and the Authority Having Jurisdiction over state assets, the Texas State Fire Marshal's Office, as to the day-to-day decision-making with regard to life safety and fire issues.	NA	SORM recommends that the university approach the Texas State Fire Marshal's Office to determine if they would consider a written Memorandum of Understanding to this effect. References: NFPA-101 (2012), "Life Safety Code," Chapter 1.6, "Enforcement;" Chapter 4.6.1.1 "Authority Having Jurisdiction."	NA	NA	NA	Closed
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2014	Governance and Regulatory Compliance	Loss Prevention Report	UNT	15 reports were prepared; 1 finding identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2014	Governance and Regulatory Compliance	Loss Prevention Report	UNTHSC	5 reports were prepared; no findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA

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External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	1. Violation of 25 TAC 289.252(f)(3)(M) and license condition #13: The radiation safety officer (RSO) failed to ensure that personnel comply with this chapter, the conditions of the license and the operating, safety and emergency procedures of the licensee.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	<ul style="list-style-type: none"> Dr. Thomas Harrison was relieved of the duties of RSO and replaced by Charles Fox. With assistance from external consultants, Mr. Fox is establishing procedures to assure compliance with license condition #13 no later than May 1, 2014. The present RSO is a full-time employee of UNT. 	NA	7/1/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	2 Violation of 25 TAC 289.202(e)(5): No documented assessment was made to determine the monitoring requirements of 25 TAC 289.202(q)(1) and (3) were not applicable and individuals were not being monitored for occupational exposure to radiation. Dr. Thomas Harrison who had been using and transporting radioactive material was observed not wearing whole body or extremity monitoring devices as required	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	<ul style="list-style-type: none"> Public dose assessments are being prepared and documentation to be completed by July 1, 2014. The RSC is fully aware of the issues with the radiation safety program, is meeting quarterly and is actively providing program oversight. 	NA	7/1/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	3. Violation of 25 TAC 289.202(r)(2) and license condition #16: Individual monitoring devices were not returned to the dosimetry provider for proper processing. Monitoring devices for the monitoring period of July 1 – October 1, 2013 were not returned at the prescribed quarterly interval.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	<ul style="list-style-type: none"> Individual monitoring devices that were overdue to be exchanged were collected and returned for processing and the current monitoring period dosimeters issued External consultants have been engaged for an in depth audit of the program and to assist with development of procedures and implementation of corrective actions. An annual audit of the radiation safety program will be planned using external consultants. 	NA	7/1/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	Violation 1 – Entrance exposure exceeded limits for PA Chest (Grid) procedure	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	<p>a. Specific Steps Taken to Correct Violation:</p> <p>The PA Chest x-ray system has preprogrammed techniques. The individual the University hired to be the Radiation Safety Officer (TDSHS approval pending), in consultation with the University Wellness Center Director of Medicine, have reviewed the preprogrammed techniques and selected techniques with lower exposures for the chest. The technique chart the x-ray technologist now uses is below 30 milliroentgens.</p> <p>b. Steps Taken to Prevent Violation from Reoccurring:</p> <p>The x-ray technologist has reviewed the technique chart and certified that she has read the manufacture-issued operations manual. In addition, the technologist has been directed not to alter the current setting for chest x-rays</p> <p>c. Date Full Compliance Was or Will be Achieved:</p> <p>The correct preprogrammed techniques were selected on August 26, 2014 and the x-ray technologist certified she has read the manufacturer's operation manual on that same date. The vendor inspected the machine on March 15, 2014. Operation and safety procedures will be developed and a verification (sign-off) procedure implemented no later than October 31, 2014.</p>	NA	10/31/2014	Closed

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External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	Violation 2 – Entrance exposure exceeded limits for Abdomen (KUB) procedure	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	a. Specific Steps Taken to Correct Violation: The Abdomen (KUB) system has preprogrammed techniques. The individual the University hired to be the Radiation Safety Officer (TDSHS approval pending), in consultation with the University current setting for chest s Center Director of Medicine, have reviewed the preprogrammed techniques and selected techniques with lower exposures for the abdomen. The technique chart the x-ray technologist now uses is below 450 milliroentgens. b. Steps Taken to Prevent Violation from Reoccurring: The x-ray technologist has reviewed the technique chart and certified that she has read the manufacture-issued operations manual. In addition, the technologist has been directed not to alter the current setting for chest X-rays. c. Date Full Compliance Was or Will be Achieved: The correct preprogrammed techniques were selected on August 26, 2014; and the x-ray technologist certified she has read the manufacturer's operation manual on that same date. The vendor inspected the machine on March 15, 2014. Operation and safety procedures and a verification (sign-off) procedure for the radiation machine will be implemented no later than October 31, 2014.	NA	10/31/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	Violation 3 – No documentation showing individual radiation machine operators read operating and safety procedures	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	a. Specific Steps Taken to Correct Violation The University is in the process of developing operating and safety procedures for all radiation producing devices, including for the machine operated by Dr. Michael House that was inspected on August 4, 2014. We have requested that the Team Physician who uses the equipment to minimize the exposure during the use of the machine. We have provided quotes for newer machines that will better minimize the radiation needed to perform the scans. The team physician will be developing and signing off on new operating procedures to insure documentation of this process is available. The current machine is scheduled to be decommissioned by October 31, 2014 with local hospital machines being used until an up-to-date machine is purchased. b. Steps Taken to Prevent Violation from Reoccurring The University will require all individuals who operate radiation machines to read the operating and safety procedures for each device they operate and sign a document verifying they have read and understand the procedures. The Radiation Safety Officer will sign or initial the verification document, which will be maintained in accordance with the university's record retention policy.	NA	10/31/2014	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	1. We had not had the Fluoroscopic Entrance Skin Exposures measured within 14 months.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again.	This citation is an error. We had an inspection of this system on 3 September 2013 and again on 31 July 2014. As required the Entrance Skin Exposures were posted on the machine.	NA	NA	Closed

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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 Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	2. We had not created specific Operating and Safety Procedures for all radiation producing devices and had them signed annually by the operators and initialed by the RSO.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	Since this system is only operated by one individual (Dr. Michael House), I did not feel it was necessary to develop Operating and Safety Procedures for him to sign. Based on this violation, however, I will develop an Operating and Safety Procedure for this system and have it signed by Dr. House and I will initial it too. I will ensure that on an annual basis this document is reviewed and signed by Dr. House	NA	NA	Closed
External	Texas Department of State Health Services	Fiscal Year 2014	Governance and Regulatory Compliance	Notices of Violation	UNT	3. The agency was not notified of the change in RSO within 30 days following the change.	NA	For each violation: 1. Describe the specific steps taken to correct the violation. 2. Describe the steps taken to prevent it from happening again. 3. The date when full compliance was, or will be achieved.	This was an oversight of the interim RSO. I've drafted a letter requesting a major adjustment to our two radiation producing device registrations. One registration R19956 will now contain ONLY human use x-ray devices. The second registration R04611 will contain ONLY the industrial radiation producing devices.	NA	NA	Closed
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	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Establish a team with the knowledge and expertise to evaluate the KFAC's Business Plan;	The Vice Provost for Academic Resources agrees with all the recommendations. 1. The Vice Provost for Academic Resources with the Dean of the College of Education to compose an evaluation team with the knowledge and expertise to evaluate the KFAC's Business Plan. This team will consist of members of UNT and the community who can help to advise on individual components of the plan.	Dr. Allen Clark, Vice Provost for Academic Resources	4/01/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	UNT Kristin Farmer Autism Audit	UNT	The UNT Kristin Farmer Autism Center's (KFAC) Business Plan does not appear to be achievable. The KFAC's Business Plan presents a detail cost structure for provided services as \$5,500 per month per child, or \$66,000 annually. KFAC was to service 40 children monthly generating an annual income of \$2,640,000; however, the Center's capacity can only operate with 20 full-time and additional part-time clients. Additionally, there is no presentation or explanation of how these services will be paid by the client. Examples would include insurance coverage, partnering with local school districts, or	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	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	High	Management Action for the Vice Provost for Academic Resources and Dean of the College of Education: Prepare a Memorandum of Understanding to document the financial funding agreements between the KFAC, the Provost Office and the University. Implementation will provide assurance that a thorough evaluation of future Centers and Institutes will be performed. Additionally, a cost/benefit analysis of the KFAC will be performed.	The Vice Provost for Academic Resources agrees with all the recommendations. 4. Prepare a Memorandum of Understanding to document the financial funding agreements between the KFAC, the Provost, and the University. A cost/benefit analysis will be included as part of the updated business plan.	Dr. Allen Clark, Vice Provost for Academic Resources	3/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	None	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	We performed a limited review of the control environment related to football ticket sales. We noted weaknesses related to complimentary and student tickets. These weaknesses included a lack of procedures for complimentary tickets and no reconciliations of complimentary tickets or unsold student tickets.	NA	We recommend that the Athletics department strengthen the controls related to complimentary tickets (including student tickets), develop procedures relating to complimentary tickets which should include documentation of each complimentary ticket recipient, and perform reconciliations of complimentary and student tickets.	The athletic department agrees with a recommendation that additional steps can be taken to further assure reconciliation/security of comp/students tickets. The athletic department will: 1. On a weekly basis reconcile a. student tickets b. student athlete tickets 2. Work with Ticketmaster to assure that all protocols are in place to link personnel who can print or distribute comp tickets. 3. On a monthly basis, spot check and report on comp ticket distributions to assure proper approvals are in place.	Mike Ashbaugh, Troy Taylor	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Future game guarantees are not accrued when contracts are executed.	NA	We recommend that game guarantees be accrued in the financial reporting period when the contracts are executed.	The athletic department agrees to create accounts receivable for game contracts. We will consult with Financial Reporting to record existing and future contracts using GAAP as a guideline for recording these amounts. The athletic department notes that in most cases the guaranteed amount in the event a scheduled contest is not played is not the same as the face value of the contract when the game is played. Again we will consult with Financial Reporting to determine the amount to be recorded.	Mike Ashbaugh	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	NCAA Bylaw 11.2.2, Athletically Related Income, requires annual reporting of all athletically related income and benefits from sources outside the institution. This reporting is to also be provided to the President. During the audit, Athletics did not have all required reports on file for fiscal year 2013. The forms were subsequently completed and no third-party compensation was received by the Athletics Department employees that met the criteria to be disclosed in the financial statements.	NA	We recommend that the Athletics Department develop a process for assuring that all reports are obtained and completed appropriately, and determine if any additional steps are necessary for this process to be fully compliant with NCAA Bylaw 11.2.2.	The athletic department has always collected all forms in a timely manner through the Compliance Office. This year due to a change in the Compliance Officer, all forms were not collected. To alleviate this from happening again the athletic department will: 1. Reinforce the responsibility of the Compliance Officer to create a list of staff required to submit forms. 2. Meet with staff and department personnel to get each form signed and recorded on an Excel spreadsheet. 3. Athletic Director and Senior Associate Athletic Director for Business Affairs will set calendar reminders to meet with Compliance Officer and complete certification two weeks prior to required submission date. Athletics notes that forms for 2011 and 2012 were requested after the review and all forms were provided immediately. This is reinforcement that our procedures under normal circumstances have been followed.	Rick Villarreal, Mike Ashbaugh, Scott Hobbs	1/15/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	NCAA Agreed Upon Procedures	UNT	Future game guarantees are not recorded when contracts are executed.	NA	We recommend that game guarantees be recorded when the contracts are executed.	We will consult with Financial Reporting to record existing and future contracts using GAAP as a guideline for recording these amounts. The athletic department notes that in most cases the guaranteed amount in the event a scheduled contest is not played is not the same as the face value of the contract when the game is played. Again we will consult with Financial Reporting to determine the amount to be recorded.	Mike Ashbaugh	1/15/2014	Closed
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	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	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
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	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

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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
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

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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	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
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

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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	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	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
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system. A review of active NextGen EPM user accounts in August 2013 revealed the following: <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. Further testing of the corresponding network accounts identified the following: <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 	Moderate	Recommendations for the Director, Process Improvement: 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.	What Action Management Commits To Do: 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. UNT Health has also approved the implementation of the following to address the recommendations above: 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.	Jolie Allen, Director, Process Improvement, UNT Health Steve Woodall, Director, Records and Information Management	5/15/2014	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one 	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
Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one 	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

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Internal	UNT System Internal Audit	Fiscal Year 2014	Information Technology	UNT Health NextGen EPM Post-Implementation Review	UNTHSC	<p>Access privileges to the UNTHSC network and NextGen EPM system were not immediately disabled when users terminate their employment from the UNT Health. The NextGen EPM system is used by UNT Health for patient scheduling, reporting, and claims management including billing and payment posting. Both a UNTHSC network account and EPM user account are required in order to access the system.</p> <p>A review of active NextGen EPM user accounts in August 2013 revealed the following:</p> <ul style="list-style-type: none"> • Five active NextGen EPM user accounts were for users that were no longer employed by UNT Health. • Five active NextGen EPM user accounts were for former residents no longer working at UNT Health. <p>Further testing of the corresponding network accounts identified the following:</p> <ul style="list-style-type: none"> • Six network accounts, including four employees and two residents, were active. Dates of termination for these employees ranged from December 2012 to June 2013. • Two network accounts, including one employee and one resident, were disabled within two and three months of termination. • Two network accounts, including one employee and one 	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. Since the audit, UNT Health has also approved the implementation of the following to address the recommendations above:</p>	<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</p>	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.</p> <p>The incidental fees at UNTHSC are split into three different categories: course fees, library fines, and all other incidental fees. Each category of incidental fees currently has its own approval process. The following are the results of testing for each category tested.</p> <p>Of the 20 course fees tested:</p> <ul style="list-style-type: none"> •Eight were appropriately approved by the BOR. •Ten were approved by the Provost without any formal delegation of authority from the President. •Two did not have approval documentation available. •Ten have not been reaffirmed since 1993. <p>Of the seven library fees tested:</p> <ul style="list-style-type: none"> •All seven were approved by the Library Director without any formal delegation of authority from the President. •Library fines were reviewed annually. <p>Of the 29 other incidental fees tested:</p> <ul style="list-style-type: none"> •Twenty-four were appropriately approved by the 	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
Internal	UNT System Internal Audit	Fiscal Year 2014	Academic and Students	Approval of Incidental Fees Review	UNTHSC	<p>UNTHSC does not have documentation in place to formally delegate authority for approval and review of incidental fees.</p> <p>The incidental fees at UNTHSC are split into three different categories: course fees, library fines, and all other incidental fees. Each category of incidental fees currently has its own approval process. The following are the results of testing for each category tested.</p> <p>Of the 20 course fees tested:</p> <ul style="list-style-type: none"> •Eight were appropriately approved by the BOR. •Ten were approved by the Provost without any formal delegation of authority from the President. •Two did not have approval documentation available. •Ten have not been reaffirmed since 1993. <p>Of the seven library fees tested:</p> <ul style="list-style-type: none"> •All seven were approved by the Library Director without any formal delegation of authority from the President. •Library fines were reviewed annually. <p>Of the 29 other incidental fees tested:</p> <ul style="list-style-type: none"> •Twenty-four were appropriately approved by the 	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</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

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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	Moderate	Recommendations for the Director of Anatomical Services: Develop a process to ensure forms and fees are processed with the SAB and recorded properly	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	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	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	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	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	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
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The removal of signatory authority access for terminating employees from University bank accounts was not completed timely. Of the nine employees that left their signatory role during fiscal year 2013, five were not removed immediately from University bank accounts. Three employees were removed within two weeks. Additional review of the two remaining employees revealed the following: • One UNT employee remained with signatory authority over two years after retiring from the University. • One HSC employee held signature authority for over ten months while not in a role to warrant that authority, as also identified in the recent Fiscal Year 2013 Investment Review (Audit No. 14-002 HSC).	High	Recommended actions for the Vice Chancellor for Finance: Implement a System-wide policy specifying a responsible party to monitor University bank accounts for the prompt removal of individuals who no longer would have authorized banking signatory authority.	Management concurs with the recommendations that bank signatory authority is kept up to date and there is a policy created that specifies who will ensure they remain current at all times.	VC for Finance	7/1/2014	Closed

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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	Moderate	Recommended actions for the Vice Chancellor for Finance: Establish a process to ensure retention of signature cards, once superseded, through the end of the fiscal year and an additional three years in accordance with the state record retention requirements.	Management concurs with the recommendation and will ensure that policies, procedures, and processes are in place along with adequate staff training to retain records in compliance with The Texas State Records Retention Schedule.	VC for Finance	7/1/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Finance	Bank Account Authorization Review Audit	UNT System	The Office of Financial Reporting & Operations discovered a University bank account which was being maintained at the department-level. In May of 2013, the UNT Financial Reporting personnel discovered the UNT's Federal Perkins Loans bank account was being managed in the Student Financial Aid and Scholarships Office.	Moderate	Recommended actions for the Vice Chancellor for Finance: Develop a UNT System policy that documents the authority and requirements to establish, maintain, update, and close bank accounts, which includes: • An annual confirmation verifying directly with the bank, all bank accounts bearing the name University of North Texas in their title, listed as their customer, or with a UNT tax ID number, and • A statement of where each entity's signature cards	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	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
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	It is recommended that the Associate Vice Chancellor for Business Services: 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	The UNT System Business Service Center agrees with the recommendation. 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.	Debbie Reynolds, Executive Director of Procurement Services	5/1/2014	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <p>1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required.</p> <p>2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required.</p> <p>3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing:</p> <p>A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation.</p> <p>B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication</p>	Moderate	<p>Recommendations for AVP of Research Administration at UNTHSC:</p> <p>Evaluate and improve the process for notifying:</p> <p>a) Principal Investigators of upcoming due dates, and b) Administration personnel when due dates have passed and a report has not been filed.</p> <p>Implementation will provide assurance that grant conditions for reporting requirements and allowable</p>	<p>Notifications: Progress Reports HSC currently distributes a 90 and 30 day courtesy notification to all Principal Investigators (PIs) for final progress reporting as part of the award close-out process. A copy of the report for the file is requested from the PI. For CPRIT awards, OGCM will enhance this process by tracking submission dates for quarterly and annual progress reports and sending an additional email reminder to the PI with a copy to the department chair if the PI has not submitted the progress report 30 days past the sponsor due date.</p> <p>Additional Comments: Progress reporting is the responsibility of the PI with the support of department administration. Progress reports do not require institutional level signatures. This PI responsibility is documented in university policies and procedures.</p> <p>Notifications: Financial Reports OGCM will set up milestones in EIS for all quarterly and final reporting periods and generate a monthly query to better track sponsor due dates. The query will be reviewed monthly by the Accountant and the Director of Grants and Contracts to provide better monitoring of sponsor due dates.</p> <p>Notifications: Effort Reports OGCM developed and implemented a new on-line effort reporting system in June 2014 with supporting policies and procedures. Campus training was completed February 2014.</p>	Mazen Barakat, Director of Grants and Contract Management	9/30/2014	Closed
Internal	UNT System Internal Audit	Fiscal Year 2014	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas (CPRIT) Audit	UNTHSC, UNT	<p>Fifteen areas were reviewed for compliance with CPRIT guidelines and institutional policies at UNTHSC and UNT. Exceptions were noted in the five areas below:</p> <p>1. Reimbursement and Expenditure Reporting Seven of 26 quarterly financial status reports reviewed were not submitted by UNTHSC within 90 days of the quarter covered as required.</p> <p>2. Grant Closeout The final financial status report for UNTHSC grant RP101399 was submitted 122 days after the grant end date and not within 90 days as required.</p> <p>3. Expenditures For the grants under review, non-travel expenditures totaling \$110,111 were reviewed (or 59% of the total population: \$187,227), as well as travel expenditures totaling \$44,607 (or 100% of the population). The following results were noted from the testing:</p> <p>A. Non-travel labor charges for one temporary employee selected for testing totaling \$2,414 on UNTHSC grant PP100195 could not be substantiated via supporting documentation. Subsequently, Internal Audit tested the additional \$2,044 of temporary labor charges for this temporary employee during the testing period and was not able to substantiate them via supporting documentation.</p> <p>B. A review of non-travel expenditures for UNTHSC grant PP100069 found two mobile phone service charges that included an unallowable \$10 telecommunication</p>	Moderate	<p>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</p>	<p>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.</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	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
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	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

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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	UNT Endowment Review Audit	UNT	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.	Low	Recommend for Director of the Professional Leadership Program (PLP): Reorganize the Frank Bracken PLP Endowment scholarship committee to include those individuals as prescribed by and agreed to in the Gift Agreement as follows: <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. 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	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.	Mariilyn K. Wiley, Senior Associate Dean, College of Business	3/1/2014	Closed
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	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

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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	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	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
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	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	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	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

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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
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	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	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	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: <ul style="list-style-type: none"> The appropriated amount for TRS expenditures through Fund 0001 was not included in Section 2.c of the finalized form. This amount was recorded as \$0.00 instead of \$353,077.69. The TRS expenditure component of the local funds adjustment section of the APS 011 was reported as \$41,430.00 instead of \$394,507.69, which resulted in the GRD local funds adjustment in Section 1 being 	NA	None	NA	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	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	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	Independently review the detail of the consolidation working papers for the financial statement line items and related footnotes for the fiscal year 2013 financial statements to identify errors or missing disclosures.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Compliance with Generally Accepted Accounting Principles (GAAP): The process related to the preparation of the combined financial statements and related footnotes is not well defined and documented and does not require a detailed review and verification of financial information to substantiate the accuracy and completeness of the information presented. As a result, there is a risk that information is not properly presented or disclosed in accordance with GAAP. Some of the specific issues noted throughout this report point to specific errors identified, however there is a risk that other errors in the financial statements may exist and should be addressed to determine the proper presentation in accordance with GAAP.	High	Perform an analysis of the Chart of Accounts to deactivate unnecessary or unused accounts, and implement procedures to review the Chart of Accounts on a periodic basis.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Financial Statement Integrity Thread and Account Reconciliation and Validation Thread.	NA	NA	NA
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

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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	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	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and IT Alignment Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Untimely, Incomplete, and Inaccurate Account Reconciliation Management Practices: Management of the account reconciliation process does not provide proper oversight of the accuracy of UNTS's general ledger and the financial statements. Specifically: · 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	High	Management should promptly establish procedures governing account reconciliation practices to confirm significant accounts are reconciled completely and on a timely basis. In addition, management should issue guidance on researching and resolving reconciling differences to confirm that such differences are investigated for proper accounting treatments. Management should also consider implementing processes to require a supervisor or manager with requisite knowledge of the account to review the reconciliation for completeness and accuracy, as well as standardize and define an appropriate account reconciliation.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Account Reconciliation and Validation Thread.	NA	NA	NA
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: · 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	High	Promptly implement the following practices: Require that proper documentation be maintained with journal entries with financial reporting office.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: · 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	High	Perform an analysis of journal entries recorded in FY2013 and FYE 2014 to date to identify errors in reporting.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA

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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: · 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	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: · 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	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: · 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	High	Establish a formal written policy that disallows approvers from approving their own entries and/or from creating entries, sending them to a bookkeeper to place into PeopleSoft, and then approving them.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: · 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	High	Establish formal written policies that require entries to be reviewed by someone at least one level higher than their original creator.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA

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External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Absence of Formal Journal Entry Review and Supporting Documentation Requirements: Current journal entry practices do not prevent nor detect the recording of invalid or unsupported transactions to the general ledger. Standards for supporting documentation and supervisor review have not been formally established across UNTS. As a result: <ul style="list-style-type: none"> · Journal entries are not properly supported; · Journal entries were made that are not properly reviewed by someone separate from the preparer; · Individuals in functions outside of the normal financial accounting and reporting function had the authority and responsibility to prepare and review journal entries; and · In a number of processes, transactions were accumulated to record journal entries once a month instead of each time 	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 	High	Restrict the preparation and review of journal entries to individuals with financial accounting and reporting responsibilities.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread and Policies & Procedures Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented Business Processes: UNTS has not maintained written documentation for certain business processes identified as key by UNTS management. Management cannot efficiently identify, nor do they have sufficient documentation on, the significant flow of transactions, including ownership of the processes impacting its components and the consolidated financial statements.	High	Implement an initiative to document business processes to validate that current documentation is properly prepared and maintained.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Undocumented Business Processes: UNTS has not maintained written documentation for certain business processes identified as key by UNTS management. Management cannot efficiently identify, nor do they have sufficient documentation on, the significant flow of transactions, including ownership of the processes impacting its components and the consolidated financial statements.	High	Additionally, management should consider preparing desired end-state documentation, such as narratives and graphical process flows, as part of its finance transformation objectives to address identified process gaps.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Business Process Remediation Thread.	NA	NA	NA
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	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

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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	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	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	Moderate	Management should perform a similar review of financially significant applications to assess the design and implementation of GITCs outside of PeopleSoft.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the IT Alignment Thread.	NA	NA	NA
External	Deloitte & Touche in coordination with UNT System Internal Audit	Fiscal Year 2015	Finance	University of North Texas System Financial Reporting Analysis	UNT System	Lack of Continuous Accounting and Technical Training for Financial Reporting Personnel: Financial reporting office staff and management receive insufficient training on accounting methodologies, generally accepted accounting principles, financial reporting, internal controls, PeopleSoft, and the application of policies and procedures.	High	Research and implement regular financial reporting office-wide trainings for staff and managers on GAAP, Texas accounting code, internal controls, PeopleSoft, and other pertinent issues. Management should foster a culture of learning and continuous improvement.	Through the UNTS Financial Transformation project sponsored by the Board of Regents and management, this observation is being addressed in the Change Management Thread.	NA	NA	NA
External	Grant Thornton	Fiscal Year 2015	Finance	Consolidated Annual Financial Report of the University of North Texas System	UNT System	In our opinion, based on our audit and the report of the other auditors, the financial statements referred to above present fairly, in all material respects, the respective financial position of the business-type activities and the discretely presented component unit of the System as of August 31, 2014, and the respective changes in financial position and, where applicable, cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA
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

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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 Pls 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	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
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	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	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	<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. Because the University included loan fees for those students, it over awarded financial assistance to 3 of those 28 students. Not removing Direct PLUS loan fees from COA when necessary could result in higher COA budgets and increases	NA	The University should: - Include loan fees in COA only for students who receive loans.	<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	Dena Guzman-Torres and Lacey Thompson	8/1/2014	Closed

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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> <ul style="list-style-type: none"> - 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><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,	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
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	COOP Plan Evaluation	UNTHSC	<p>COOP-15-03 Consideration should be given to the University of North Texas System Enterprise COOP to include all campuses.</p>	NA	<p>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.</p>	<p>This has been discussed between the campus emergency managers, but the System does not have a position responsible for coordination of a COOP program.</p>	Matthew Moncus, Director, Safety Office	2/1/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	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	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	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	Randall J. Saxon, Senior Director UNT System Business Support Services	9/1/2015	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"> 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	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	Mary Davis, Director of Payroll	NA	Closed
External	Texas Higher Education Coordinating	Fiscal Year 2015	Governance and Regulatory Compliance	Compliance Audit of Formula Funding (Division of	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA

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External	Grant Thornton	Fiscal Year 2015	Governance and Regulatory Compliance	CPRIT Grant financial and compliance audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	OneStar	Fiscal Year 2015	Governance and Regulatory Compliance	OneStar financial and compliance audit (Federal) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Academic and Students	College Readiness Grant financial audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Academic and Students	College Access Challenge Grant financial audit (State) (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
External	Texas Higher Education Coordinating Board	Fiscal Year 2015	Governance and Regulatory Compliance	Sandia National Lab (Federal) financial and compliance audit (Office of Grant and Contract Administration)	UNT	No findings/deficiencies.	NA	None	NA	NA	NA	NA
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	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	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	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

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External	Merki & Associates P.C.	Fiscal Year 2015	Governance and Regulatory Compliance	FY2014 NCAA Agreed-Upon Procedures (Athletics)	UNT	We obtained the intercollegiate athletics statements of revenue and expenses for the year ended August 31, 2015 as prepared by management and included herein. We compared the amounts on the statements to the fiscal year 2015 transactions listing or verified proper summarization of amounts from the transactions listing of the entire athletic department and found differences. These differences were primarily category misclassifications, which were subsequently corrected. Additionally, we performed a review of the transactions listing for items improperly excluded from the statements. No such amounts	NA	Confirm the placement of all NCAA distributions 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	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	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	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	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	Fiscal Year 2015	Governance and Regulatory Compliance	Review of Project Milestone Progress; 1115 Waiver	UNTHSC	Midpoint Assessment: Identify Risk To Project Achievement - Project #138980111.1.4	NA	None	NA	NA	NA	NA
External	Booze-Allen-Hamilton	Fiscal Year 2015	Governance and Regulatory Compliance	National Science Foundation (NSF) Desk Review of all NSF Awards (OGCA)	UNT	NA	NA	None	NA	NA	NA	NA

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External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Incorrect payment of accrued vacation time.	NA	<p>We recommend the System enhance its internal controls to prevent incorrect payments of accrued vacation time.</p> <p>The System should consider recovering the amount of overpayments in accordance with Texas Government Code, Chapter 666, unless it determines it is not cost effective to do so. In addition, the System must compensate the employee for the underpaid amount.</p>	<p>The UNT System Administration agrees with this finding and requirements. During the time period audited, the Payroll Department was in a stage of transition to a centralized, shared service organization established to provide payroll services to all UNT System institutions.</p> <p>The UNT System is also currently undergoing a major financial transformation to review all financial-related processing activities throughout all institutions. All payroll processing activities are being reviewed to establish best practices and controls that will help minimize errors in the future.</p> <p>Vacation payouts were calculated using an annualized approach. The underpayment error identified an unknown weakness in this approach and therefore identified a need to change the methodology, which has since been made. Also, under the historical practice, individual vacation payout calculations were completed with no review. A new process has been implemented that provides for a secondary review of payout calculations.</p> <p>The two overpayments that were the results of human error were analyzed to determine the cost/benefit for attempting to collect overpayments from past employees.</p>	Abdul Mohammad, Senior Director of Operations	NA	Closed
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Incorrect longevity payment amount.	NA	<p>The System should verify months of service data for its employees and enhance its internal controls to prevent incorrect longevity payment amounts.</p> <p>In addition, the System should verify all personnel files and ensure that prior state service is properly verified and documented for its employees.</p>	<p>The UNT System Administration agrees with this finding and requirements. During the time period audited, the Human Resources Department was in a stage of transition to a centralized, shared service organization established to provide HR related services to all UNT System institutions.</p> <p>The UNT System is currently undergoing a major financial transformation to review all financial-related processing activities throughout all institutions. Longevity processing is being reviewed to establish best practices and controls that will help minimize errors in the future.</p> <p>The Human Resources Department will finalize implementation of an automated process that calculates state service date and create a Prior State Service web page on our Human Resources website to provide each employee with general information about Prior State Service and prior state service periods we have on record.</p> <p>The overpayment amounts identified during the audit were collected from the employees.</p> <p>Update 07/17/2017: Human Resources has over 1,500 employees whose months of service data still needs to be reviewed. Dorothy Cummings has updated the implementation date to January 31, 2018. (per Joey Saxon)</p>	Luis Lewin, Associate Vice Chancellor Human Resources	Original 09/01/2016 Revised 01/31/2018	Open

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External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Payroll transactions and payroll deductions: Non-compliance with Human Resource Information System (HRIS) reporting requirements.	NA	The System must ensure that all payroll and personnel transactions are reported to HRIS in a timely manner: <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
External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Security: <ul style="list-style-type: none"> 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

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External	Texas Comptroller of Public Accounts	Fiscal Year 2015	Finance	Post-Payment Audit	UNT System	Internal Control Structure: Two employees can adjust payment instructions in the Texas Identification Number System (TINS) and approve paper vouchers.	NA	The System should periodically review the controls over expenditure processing and segregate each task to the extent possible to ensure that no individual is able to process payments without oversight.	The UNT System Administration agrees with this finding and requirements. The UNT System is also currently undergoing a major financial transformation to review all financial related processing activities throughout all institutions. All USAS, TINS and signature card processing activities are being reviewed to establish best practices and controls that will help minimize errors in the future.	Joey Saxon, Senior Director UNT System Business Support Services	12/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-01 Safety: Electrical Safety: Adequate Power (Chemical Bunker) SORM noted during the consultation that UNT-Denton was utilizing an extension cord as a permanent conduit of power in the chemical bunker outside of the Chemistry Building.	NA	SORM recommends that UNT-Denton install the correct number and array of electrical power receptacles and circuits to meet the electrical needs of the chemical bunker, as per the OSHA standard referenced below. Reference: OSHA, 20 CFR 1910.305(g)(1)(iii)[A]	NA	Charlie Fox, Director of Environmental Management	9/19/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT Dallas	15-07-01 Safety: Electrical Safety: Knockouts in Electrical Panelboard SORM noted during the consultation that knockouts were missing from a panelboard on the fourth floor of Building 1 in the mechanical room.	NA	SORM recommends that UNT-Dallas insert the proper knockouts per the electrical code. Reference: NFPA-70 (2014), "National Electrical Code," Article 110.12[A]	This recommendation was completed on 08/12/2015	Wayne McInnis, Assistant Director for Facilities	8/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation	UNT System	15-07-01 Safety: Emergency Management: Shelter-in-Place Drill SORM noted during the consultation that UNT-System has not yet conducted a shelter-in-place drill for employees located in the building at 1901 Main Street in Dallas.	NA	SORM recommends that UNT-System conduct a shelter-in-place drill for these employees in order to enhance their knowledge of appropriate protocols in the event of an emergency. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.5	A shelter-in-place drill will be conducted for the UNT System building.	Justin Stewart, Assistant Director Emergency Programs & Investigations Coordinator	9/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-02 Safety: Electrical Safety: GFCI for Vending Machines (Terrill Hall) SORM noted during the consultation that the cord-and plug-connected vending machines in Terrill Hall did not have a ground-fault circuit interrupter as an integral part of the attachment plug.	NA	SORM recommends that UNT-Denton protect these machines by complying with the relevant section of the National Electrical Code, as referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 422.51(A) and (B)	NA	Randy Fite, Senior Director, Facilities Maintenance	12/31/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT Dallas	15-07-02 Safety: Fire Safety: Fire Door Rating SORM noted during the consultation that the walls in Room 361 of Building 1, the server room, were 1-hour fire rated. However, the door of the room was missing the correct marking to determine its fire rating.	NA	SORM recommends that UNT-Dallas work with the door manufacturer to determine its fire rating, mark it properly, or replace it if it is insufficient for this location. References: NFPA-101 (2015), "Life Safety Code," Chapter 7.2.1.15.2; NFPA-80 (2016), "Fire Doors and	Dallas Facilities will work with DFW Door to determine the fire rating.	Wayne McInnis, Assistant Director for Facilities	9/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-03 Safety: Accessibility: Fire Extinguisher Containers (Terrill Hall) SORM noted during the consultation that the metal fire extinguisher containers in Terrill Hall, which were between 27 and 80 inches from the floor, appeared to be protruding more than 4 inches from the wall into the circulation path. After measurement, if they are indeed protruding 4 inches or greater from the wall.	NA	SORM recommends that UNT-Denton install boxes from the bottom of the fire extinguisher containers to the floor to meet Texas Accessibility Standard requirements. If they are fewer than 4 inches from the wall, no action would be necessary. Reference: Texas Accessibility Standards, Chapter 3, Section 307, "Protruding Objects"	NA	Randy Fite, Senior Director, Facilities Maintenance	3/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT Dallas	15-07-03 Safety: Electrical Safety: Vending Machines/GFCI SORM noted during the consultation that the cord-and plug-connected vending machines on the UNT-Dallas campus did not have a ground-fault circuit interrupter as an integral part of the attachment plug.	NA	SORM recommends that UNT-Dallas protect these machines by complying with the relevant section of the National Electrical Code, as referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 422.51(A) and (B)	Inline GFCI Cord sets have been ordered for the vending machines.	Wayne McInnis, Assistant Director for Facilities	9/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-04 Safety: Fire Safety: Housekeeping (Terrill Hall - Basement) SORM noted during the consultation that a large quantity of bankers' boxes and other paperwork has accumulated in the basement of Terrill Hall, representing an increased fire load for the building.	NA	SORM recommends that UNT-Denton remove these items from this area and store them in a manner that does not represent such a hazard. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.8	NA	Vicki Campbell, Psychology Chair	8/31/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-05 Safety: Fire Safety: Exit Signage (Terrill Hall) SORM noted during the consultation that one emergency egress in Terrill Hall lacked code-compliant exit signage.	NA	SORM recommends that UNT-Denton erect and maintain exit signage in this area that meets the requirements of the Life Safety Code, as referenced below. References: NFPA-101 (2014), "Life Safety Code," Chapters 39.2.10; 7.10.2.1; 3.3.188.6	NA	Randy Fite, Senior Director, Facilities Maintenance	12/15/2015	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-06 Safety: Fire Safety: Marking of Kitchen Appliances SORM noted during the consultation that some of the mobile cooking appliances in the kitchen of Bruce Hall had not had their proper locations marked relative to the fire suppression nozzles in the ventilation hoods.	NA	SORM recommends that UNT-Denton have a qualified professional determine the proper locations for these (and all) mobile kitchen appliances relative to the fire suppression system's nozzles, and then mark the locations in some manner, as per the NFPA referenced below. Once marked, all appliances should be returned to their proper locations after cleaning, etc., to maintain the integrity of the ventilation-hood fire suppression system. References: NFPA-96 (2014), "Standard for Ventilation and Fire Protection of Commercial Cooking"	NA	Bill McNeace	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-07 Safety: Fire Safety: Emergency Egress (Bruce Hall Kitchen - Serving Area) SORM noted during the consultation that the emergency egress for employees working the serving lines in the Bruce Hall Dining Facility does not appear to comply with the Life Safety Code with regard to unobstructed access to an exit point in the event of an emergency.	NA	SORM recommends that UNT-Denton arrange the egress in this area such that the Authority Having Jurisdiction (the State Fire Marshal's Office) finds the required path of travel to be acceptable and in accordance with the requirements of the Life Safety Code. References: NFPA-101 (2014), "Life Safety Code,"	NA	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-08 Safety: Hazard Communication/Chemical Safety/GHS: Pool Chemicals a) SORM noted during the consultation that the Material Safety Data Sheets being used in the training room are outdated, and do not meet the requirements of the current OSHA Hazard Communication Standard with regard to the Globally Harmonized System of Classification and Labelling of Chemicals (GHS.)	NA	SORM recommends that UNT contact all of their chemical manufacturers (for all campuses/locations where chemicals are being used) and request GHS-compliant Safety Data Sheets, which are mandatory for manufacturers to supply to employers as of June 1, 2015.	NA	Charlie Fox, Director of Environmental Management	9/19/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2015	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	15-07-08 Safety: Hazard Communication/Chemical Safety/GHS: Pool Chemicals b) SORM noted during the consultation that no measurements of levels of exposure to the pool chemicals being used in the training room have been conducted and documented to determine if established threshold limits could be exceeded by employees using these chemicals as part of their job duties.	NA	SORM recommends that UNT-Denton determine and document the level of exposure that these employees have and then determine (based on information contained within the new Safety Data Sheets to be provided by the chemical manufacturers) how to protect the employees with administrative, engineering, and/or Personal Protective Equipment controls. Additionally, the university could also choose to transfer this risk via contracting with a third-party vendor, or by using less hazardous chemicals. References: OSHA, 29 CFR 1910.1200, "Hazard Communication Standard" (Revised, 2012); United Nations (2003), "Globally Harmonized System of Classification and Labelling of Chemicals (GHS)";	NA	NA	NA	Closed
External	Hartford Steam Boiler Inspection and Insurance Company (HSB), Steritech Group	Fiscal Year 2015	Governance and Regulatory Compliance	Loss Prevention Report, Food Safety Audit	UNT	21 reports/audits performed; 34 findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2015	Governance and Regulatory Compliance	Loss Prevention Report	UNTHSC	2 reports prepared; no findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Within the last year or so two offices and a large dishwashing unit were installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. NFPA 101, Life Safety Code, Chapters 29.2.4.1 and 7.4.1.1	Second exit to be planned and installed.	NA	8/1/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 The music practice cube area on the first floor has only one means of egress and has low headroom due to mechanical equipment hanging from the ceiling. NFPA 101, Life Safety Code, Chapters 29.2.4.1, 7.4.1.1 and 7.1.5.1	Second exit to be planned and installed.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 In the first floor laundry / old elevator control equipment the old elevator control cage area has liquid in the drip pan under the unit that appears to be hydraulic fluid. NFPA 101, Life Safety Code, Chapters, 4.6.12.1	Inquiring with the elevator maintenance company about completing an equipment demo.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Building 1104 Finding 1 The sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1104 Finding 1 The sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire sprinkler system will be inspected and updated as required.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1104 Finding 1 The sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Completed.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1104 Finding 2 The fire alarm system lacks a current annual inspection tag. The last inspection tag is dated 1994. The Fire alarm control panel indicates a trouble signal and is also in alarm status as well as the alarm silence switch has been activated. It is unknown by the Risk Management staff how long this panel has been in this status.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire alarm system will be inspected and updated as required.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1108 Unit 3000 Finding 1 The directional exit sign by room 3012 does not work when tested in the battery backup power mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Facilities will repair exit sign.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Building 1108 Unit 3000 Finding 1 The exit door by rooms 3000 and 3042 lack an approved landings outside the door.	NA	NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.2.1.3.2 and 7.1.10.1	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1108 Unit 3000 Finding 2 The main entrance/exit door is equipped with panic hardware and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Door systems will remove additional locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1108 Unit 3000 Finding 3 The exit door by room 3042 lacks an approved landing outside the door. Vegetation has been cut down outside the door and the remains of the bush create a tripping hazard.	NA	NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.2.1.3.2 and 7.1.10.1	Facilities will remove vegetation and add sidewalk.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 1 The training room has on occupant load in excess of 100 when the room divider is open and lacks the required panic hardware on the doors.	NA	NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Will install panic hardware.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 1 The training room has on occupant load in excess of 100 when the room divider is open and lacks the required panic hardware on the doors.	NA	NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Panic hardware will be installed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 2 The fire alarm panel lacks a current annual inspection tag. The last inspection tag is dated February 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems to conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Building 1112 Unit 4000 Finding 3 The fire sprinkler system lacks a current annual inspection tag. The last inspection tag is dated February 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems to conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Clark Hall Clark Hall is a 233 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 1 The West section second floor by the 200 number rooms and third floor by the 300 number rooms exterior walkways have dead ends in excess of the allowed 20 foot maximum. NFPA 101, Life Safety Code, Chapters 29.2.1, 31.2.1 and 7.5.3.3	We have hired licensed engineer (RL Woods) to perform an assessment of the balconies and design the new stairs needed. The assessment has been performed and we are waiting on the final report. Once we have the report and subsequent drawings we will hire a contractor to install.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 2 The South East side of the building exterior walkway has dead ends on the second and third floor in excess of the allowed 20 foot maximum allowed. NFPA 101, Life Safety Code, Chapters 29.2.1, 31.2.1 and 7.5.3.3	We have hired licensed engineer (RL Woods) to perform an assessment of the balconies and design the new stairs needed. The assessment has been performed and we are waiting on the final report. Once we have the report and subsequent drawings we will hire a contractor to install.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 3 The McCoy room lacks emergency lighting NFPA 101, Life Safety Code, Chapters 13.2.9.1 and 7.9.1	Completed	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 4 The mechanical chase areas have unsealed penetrations. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Sealing penetrations in progress.	NA	1/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 5 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Crumley Hall Crumley Hall is a 121 room three-story mixed occupancy consisting of existing dormitory and business. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Honors Hall Honors Hall is a 200 room five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor. NFPA 101, Life Safety Code, Chapters 29.3.1.1.1 and 8.6.6	Anticipating on adding sheetrock and glass walls with sprinklers on one side.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Honors Hall Honors Hall is a 200 room five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A is a 476 room seven-story high-rise, classified as a mixed occupancy of existing dormitory and assembly. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Unsealed penetrations exist in the wall separating the basement mechanical room and the adjoining occupancy at the HVAC ducting. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Sealing penetrations in progress.	NA	12/19/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A is a 476 room seven-story high-rise, classified as a mixed occupancy of existing dormitory and assembly. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is a 476 room eight-story high-rise, classified as a mixed occupancy of existing dormitory and business. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 1 Multiple exit doors including the main entrance are equipped with electronically controlled egress system that does not meet NFPA 101 Life Safety Code requirements in the following areas or written documentation was not available at the time the inspection was conducted... • The doors shall unlock upon activation of the fire sprinkler system • The doors shall unlock upon loss of building power controlling the locking system • Once the lock has been released by application of the releasing device relocking shall be by manual means only. • A readily visible sign shall be placed on each door NFPA 101, Life Safety Code, Chapters 39.2.2.2.5 and	Fire and Door Systems will reconfigure delayed-egress locking system to meet NFPA 101, Chapters 39.2.2.2.5 and 7.2.1.6.1 and add required sign at doors.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 2 The front main entrance doors have delayed egress locking devices installed. Assembly occupancy shall not have delayed egress locking devices on the main entrance/ exit doors. NFPA 101, Life Safety Code, Chapters 13.2.2.2.5 and 7.2.1.6.1	Fire and Door Systems will research solutions.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 3 The north east exit door by the fire alarm control panel is equipped with panic hardware and has an additional key locking device installed. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12, 7.2.1.5.1 and 7.2.1.5.10.2	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 4 Both sets of exit doors leading to the playground are equipped with panic hardware and have an additional key locking device installed.	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 5 The playground exit gate is equipped with a maglock with a request to exit button and also has standard latching lever hardware installed. Opening the gate requires more than the one motion allowed by the code. Additionally written documentation was not available to show that the maglock releases upon loss of building power and activation of the fire sprinkler activated fire alarm system. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1 and 7.2.1.6.2	Fire and Door Systems will remove standard gate latching lever and ensure maglock releases upon loss of building power and activation of the fire sprinkler activated fire alarm system.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 6 The multipurpose room has an occupancy load in excess of 100 people and lacks the required panic hardware on the exit doors. NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Panic hardware to be installed on all exit doors from multipurpose room.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	12/30/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 7 The exit corridor by room 136 is used to store large amount of combustible material. NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.1.10.1 and 4.5.3.2	Storage will be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 8 The emergency light unit by room 117 does not operate when tested. NFPA 101, Life Safety Code, Chapter 4.6.12.1	Facilities will repair emergency light.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 9 The fire alarm system lacks a current annual inspection tag. The last inspection tag is dated August 2012. NFPA 101, Life Safety Code, Chapter 4.6.12.1	Completed	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 10 The fire sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2013, no other information is punched on the tag. NFPA 101, Life Safety Code, Chapter 4.6.12.1	In progress	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 11 The fire department connection for the fire sprinkler system is missing the protective cover on one of the 2 1/2 inch connections, additionally the connection does not swivel. NFPA 101, Life Safety Code, Chapter 4.6.12.1	Completed	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 12 The wall and ceiling construction separating the business occupancy from the dwelling unit occupancy lacks the required two hour fire rated construction. NFPA 101, Life Safety Code, Chapters 39.1.3.1.1, 6.1.14.1 and 6.1.14.4.1	Plan is to change occupancy of this area to office space and add a second exit from 2 nd floor. This area will not be used or occupied until second exit is added.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 13 The smoke detector in the second floor dwelling unit living area has been removed from the ceiling.	Fire systems investigated location and determined detector had been moved to location above stairs. Base removed and covered.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	Completed.	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 14 Power strips are interconnected throughout the office areas. NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Interconnected power strips will be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 15 An extension cord is being used as a replacement for permanent wiring in room 112 NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Extension cord will be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 16 An electrical splice box is missing the cover plate in room 140. NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Box cover will be replaced.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	11/30/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 1 Multiple exit doors including the main entrance are equipped with electronically controlled egress system that does not meet NFPA 101 Life Safety Code requirements in the following areas or written documentation was not available at the time the inspection was conducted.. • The doors shall unlock upon activation of the fire sprinkler system • The doors shall unlock upon loss of building power controlling the locking system • Once the lock has been released by application of the releasing device relocking shall be by manual means only. • A readily visible sign shall be placed on each door NFPA 101, Life Safety Code, Chapters 39.2.2.2.5 and	Signs are in place. Still need to test operations on the doors.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 2 The north east exit door by the fire alarm control panel is equipped with panic hardware and has an additional key locking device installed. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12, 7.2.1.5.1 and 7.2.1.5.10.2	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 3 Both sets of exit doors leading to the playground are equipped with panic hardware and have an additional key locking device installed. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12, 7.2.1.5.1 and 7.2.1.5.10.2	Door systems will remove locking device.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	2/26/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 4 The playground exit gate is equipped with a maglock with a request to exit button and also has standard latching lever hardware installed. Opening the gate requires more than the one motion allowed by the code. Additionally written documentation was not available to show that the maglock releases upon loss of building power and activation of the fire sprinkler activated fire alarm system. NFPA 101, Life Safety Code, Chapters 39.2.2.2.1 and 7.2.1.6.2	Fire and Door Systems will research solutions. Need to repair mag lock and remove latch from a paddle handle.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	4/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 5 The multipurpose room has an occupancy load in excess of 100 people and lacks the required panic hardware on the exit doors. NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Panic hardware installed on all exit doors. Complete.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - Kristin Farmer Autism Center	UNT	Kristin Farmer Autism Center One building was re- inspected with the following violations remaining. Please respond to this office within 20 days of receipt of this report, detailing your intentions to correct the violations and a timeline for their completion.	NA	Finding 6 The wall and ceiling construction separating the business occupancy from the dwelling unit occupancy lacks the required two hour fire rated construction. NFPA 101, Life Safety Code, Chapters 39.1.3.1.1, 6.1.14.1 and 6.1.14.4.1	Will send official letter to building representative not to use the space.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Legends Hall Legends Hall is a four-story 276 room structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 IT rooms throughout the building have unsealed penetrations between floors. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Sealing penetrations in progress.	NA	1/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Legends Hall Legends Hall is a four-story 276 room structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a 326 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Maple Hall Maple Hall is a 326 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Unsealed vertical penetrations exist where the electrical panels are installed throughout the building.	Sealing penetrations in progress.	NA	1/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor.	Install fire-rated wall.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 Wainscoting is installed on the bottom section of the corridor and stairwell throughout the building and does not meet class A or B interior finish requirements. NFPA 101, Life Safety Code, Chapters 29.3.3.2 and 10.2.3	Apply intumescent paint.	NA	8/31/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 1 A second cooking range is located in the kitchen across the room from the vent a hood and is not protected by a vent hood or wet chemical fire suppression system.	NA	NFPA 101, Life Safety Code, Chapter 13.3.2, 9.2.3; and NFPA 96 Standard for Ventilation Control and Fire Protection of Commercial Cooking Operations	Rick and Trey's Sports Bar will complete installation of a vent hood or wet chemical fire suppression system. Risk Management Services (RMS) will verify.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Rick and Trey's Sports Bar Finding 1 A second cooking range is located in the kitchen and is not protected by a vent hood or wet chemical fire suppression system.	NA	NFPA 101, Life Safety Code, Chapter 13.3.2, 9.2.3; and NFPA 96 Standard for Ventilation Control and Fire Protection of Commercial Cooking Operations Operating Features Violation	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 1 Exit signs throughout the building do not operate when tested in the battery backup mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair exit sign	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 10 The fire sprinkler system lacks a current annual inspection tag. The system was installed in 2012 and has not been inspected since the installation.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 11 The fire alarm system lacks a current annual inspection tag. The system was installed in 2012 and has not been inspected since the installation.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 12 The wet chemical fire suppression system installed to protect commercial cooking appliances under the vent a hood system lacks a current semiannual inspection tag. The system was installed in 2012 and has not been inspected since the installation. Note: the discharge nozzles are directed to the back wall behind the cooking equipment and if the system was activated little or no agent would spray on the cooking equipment.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 13 The portable fire extinguishers throughout the building lack current annual inspection tags. The last inspection was conducted in July of 2013. Note: The extinguishers have University inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1.	Rick and Trey's Sports Bar must complete inspection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 14 A second cooking range is located in the kitchen across the room from the vent a hood and is not protected by a vent hood or wet chemical fire suppression system.	NA	NFPA 101, Life Safety Code, Chapter 13.3.2, 9.2.3; and NFPA 96 Standard for Ventilation	Rick and Trey's Sports Bar must install a complete Type I cooking hood system equipped with an automatic fire suppression system that is monitored by the premises fire alarm panel, or remove range. Range shall be removed until the cooking hood, fire suppression system and monitoring are complete. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 15 Both the bar and the outdoor patio area have occupancy loads calculated by the City of Denton prior to the expansion of both areas and the university buying the property. The occupancy loads need to be re-calculated by the campus Fire Marshal and up to date signs posted.	NA	NFPA 101, Life Safety Code, Chapters 13.7.9.3.1, 13.7.9.3.2 and 13.7.9.3.3	UNT to recalculate occupancy loads.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 2 The emergency lighting units do not operate when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair emergency lights.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 3 The illuminated exit sign by the rest room hallway in the main bar area is not illuminated in the normal building power mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair exit sign.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 4 The fenced in outdoor patio seating area has an occupant load in excess of 50 and lacks the required remotely located second exit.	NA	NFPA 101, Life Safety Code, Chapter 13.2.4.4	Rick and Trey's Sports Bar must install second exit. Risk Management System (RMS) will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 5 The patio area exit sign directs occupants away from the exit gate and into an area without an exit.	NA	NFPA 101, Life Safety Code, Chapters 13.2.10.1 and 7.10.2.2	Rick and Trey's Sports Bar must install second exit sign. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 6 The patio exit gate lacks an exit sign to clearly identify the exit location.	NA	NFPA 101, Life Safety Code, Chapters 13.2.10.1 and 7.10.1.2.1	Rick and Trey's Sports Bar must install exit sign. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 7 Exit doors have double cylinder deadbolt locks installed and lack the required panic hardware.	NA	NFPA 101, Life Safety Code, Chapter 13.2.2.2.3	Rick and Trey's Sports Bar must install panic hardware and remove deadbolt locks. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 8 The front exit door from the game room section was locked and no staff member on site had a key to unlock the door. Note At the time of the inspection the bar was open for business. The bar owner was called in from home to unlock the door.	NA	NFPA 101, Life Safety Code, Chapters 13.2.1, 7.2.1.5.1 and 7.2.1.5.3	Rick and Trey's Sports Bar must install panic hardware and remove deadbolt locks. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Rick and Trey's Sports Bar Finding 9 A large beer pong game restricts access to the rear exit on the main bar side.	NA	NFPA 101, Life Safety Code, Chapters 13.2.5.1.1 and 7.1.10.1 and 7.1.10.2.1	Rick and Trey's Sports Bar must move beer pong game. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a 157 unit three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor. NFPA 101, Life Safety Code, Chapters 31.3.6.3.1 and 8.6.6	Install fire-rated wall.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Traditions Hall Traditions Hall is a 373 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 A communicating space between the first and second floors exists and is open to the egress corridor on the second floor. NFPA 101, Life Safety Code, Chapters 29.3.1.1.1 and 8.6.6	Install fire-rated wall.	NA	8/1/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Traditions Hall Traditions Hall is a 373 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 1 The portable fire extinguishers lack annual inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to inspect fire extinguishers.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 1 The portable fire extinguishers lack annual inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenet will have the fire extinguishers inspected.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 2 Extension cords are used to power exercise equipment throughout the room.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will remove extension cords. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 2 Extension cords are used to power exercise equipment throughout the room.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenet will have the extension cords removed.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 3 The electrical outlet within six feet of the sink lacks Ground Fault Circuit Interrupter (GFCI) protection.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will install GFCI protection. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/104	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 110 Finding 4 The electrical outlet located behind the clothes dryer is missing the protective cover plate.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will install cover plate. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/23/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 1 The fire alarm system installation not been completed the system is not operational.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	The fire alarm system installation has been completed.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 1 The fire alarm system lacks a current inspection tag.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	New system, installation in progress.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 2 The main entrance lacks a manual fire alarm pull station within five feet of the exit door.	NA	NFPA 101, Life Safety Code, Chapters 39.3.4.1, 9.6.2.3; and NFPA 72 National Fire Alarm and Signaling Code	Will install manual fire alarm pull station near front door.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 2 The main entrance lacks a manual fire alarm pull station within five feet of the exit door.	NA	NFPA 101, Life Safety Code, Chapters 39.3.4.1, 9.6.2.3; and NFPA 72 National Fire Alarm and Signaling Code	Will install manual fire alarm pull station near front door.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 3 The portable fire extinguishers lack current inspection tags. The last inspection was conducted in July 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems to conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 112 Finding 4 Storage is located in front of the electrical panels.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Occupant will remove storage. RMS will verify.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 114 Finding 1 The portable fire extinguishers lack current inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection. If space is unoccupied, fire extinguishers will be removed until such time the space is re-occupied.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 120 Finding 1 The rear exit door has a sliding dead bolt lock installed in addition to the standard door lock.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.1, 7.2.1.5.1, 7.2.1.5.3 and 7.2.1.5.10	Sliding dead bolt lock to be removed.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 120 Finding 2 The portable fire extinguishers lack a current annual inspection tag. The last inspection tag is dated July 2013.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection. If space is unoccupied, fire extinguishers will be removed until such time the space is re-occupied.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 120 Finding 3 The unused gas lines into the building lack protective caps.	NA	NFPA 101, Life Safety Code, Chapters 13.5.1 and 9.1.1	Facilities will install protective caps.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 200 Finding 1 The main entrance door has a keyed dead bolt lock installed but is missing the thumb latch on the interior side of the door.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.1 and 7.2.1.5.3	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 210 Finding 1 The main entrance/exit door is equipped with panic hardware and has an additional locking devices installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 210 Finding 2 The rear double exit door is equipped with standard latching locking hardware installed and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.1 and 7.2.1.5.10.2	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 220 Finding 1 The main entrance/exit door is equipped with panic hardware and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 220 Finding 1b The sprinkler heads in the corridor by room 2249 still have the orange protective shipping covers installed.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire systems to remove covers.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 229 Finding 1 The main entrance door is equipped with a double cylinder dead bolt locking device.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1 and 7.2.1.5.5.1	Space unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 3000 Finding 1 The main entrance/exit door is equipped with panic hardware and has an additional locking device installed.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.12 and 7.2.5.10.2	Door systems removed additional locking device. Complete.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 3000 Finding 2 The exit door by room 3042 lacks an approved landing outside the door. Vegetation has been cut down outside the door and the remains of the bush create a tripping hazard.	NA	NFPA 101, Life Safety Code, Chapters 39.2.1.1, 7.2.1.3.2 and 7.1.10.1	Remove vegetation and add sidewalk. Teague Nall & Perkins is designing the Woodhill 3000 ADA parking modifications and has included this within their scope.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Unit 333 Finding 1 The wall between the warehouse and the adjacent tenant space occupied by the Doctors office is not properly fire stopped at the joint where the wall meets the roof.	NA	NFPA 101, Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 1 The emergency light by the rest rooms does not operate when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT to research lease to determine responsibility and will repair or have tenant repair depending on terms of lease.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 1 The wall between the warehouse and the adjacent tenant space occupied by the Doctors office is not properly fire stopped at the joint where the wall meets the roof.	NA	NFPA 101, Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will correct deficiency.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 2 The drywall joints are not taped and covered with joint compound on one wall which separates the warehouse from the doctor's office. This allows fire and smoke to enter into the void space between the wall and spread into the adjacent tenant space and does not meet the requirements for a fire wall between different occupancy types.	NA	NFPA 101 Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will correct deficiency.	NA	3/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Unit 333 Finding 2 The drywall joints are not taped and covered with joint compound on one wall which separates the warehouse from the doctor's office. This allows fire and smoke to enter into the void space between the wall and spread into the adjacent tenant space and does not meet the requirements for a fire wall between different occupancy types.	NA	NFPA 101 Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 2 The rear double exit door from the back room has a sliding deadbolt lock installed in addition to the standard latching / lock hardware.	NA	NFPA 101, Life Safety Code, Chapters 39.2.2.2.1, 7.2.1.5.1 and 7.2.1.5.10.2	UNT will coordinate with lessee to remove additional lock.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 3 Documentation was not available to show that the wall between the Doctors office and the warehouse occupancy was designed and installed to meet the two hour fire rated separation requirements between business occupancy and storage occupancy.	NA	NFPA 101, Life Safety Code, Chapters 6.1.14.4.1 and 6.1.14.4.2	UNT will correct deficiency.	NA	3/31/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNT	Unit 333 Finding 3 Documentation was not available to show that the wall between the Doctors office and the warehouse occupancy was designed and installed to meet the two hour fire rated separation requirements between business occupancy and storage occupancy.	NA	NFPA 101, Life Safety Code, Chapters 6.1.14.4.1 and 6.1.14.4.2	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 3 The rear exit door from the warehouse area has four locking devices installed.	NA	NFPA 101, Life Safety Code, Chapters 42.2.2.2.1, 7.2.1.5.10 and 7.2.1.5.10	UNT will coordinate with lessee to remove extra locking devices.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 4 The wall between the warehouse and the adjacent tenant space occupied by the Doctors office is not properly fire stopped at the joint where the wall meets the roof.	NA	NFPA 101, Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will coordinate with lessee to repair.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 5 The drywall joints are not taped and covered with joint compound on one wall which separates the warehouse from the doctor's office. This allows fire and smoke to enter into the void space between the wall and spread into the adjacent tenant space and does not meet the requirements for a fire wall between different occupancy types.	NA	NFPA 101 Life Safety Code, Chapters 8.3.6.1, 8.3.6.2 and 8.3.6.5	UNT will coordinate with lessee to repair.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 6 Documentation was not available to show that the wall between the Doctors office and the warehouse occupancy was designed and installed to meet the two hour fire rated separation requirements between business occupancy and storage occupancy.	NA	NFPA 101, Life Safety Code, Chapters 6.1.14.4.1 and 6.1.14.4.2	UNT will coordinate with lessee.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 7 The light switch located by the oxygen bottle storage rack is missing the protective cover plate.	NA	NFPA 101, Life Safety Code, Chapters 42.5.1, 9.1.2; and NFPA 70 National Electrical Code	UNT will coordinate with lessee to replace missing cover plate.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 333 Finding 8 The electrical conduit with the outlet box by the oxygen bottle storage rack has been pulled from its wall mounting.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	UNT will coordinate with lessee to repair.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 1 The emergency light unit by exam room 3 does not work when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenet will fix light.	NA	2/15/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 1 The illuminated exit sign by the blood draw station does not work when tested in the battery backup power mode.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenant responsible to repair exit sign.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 2 The emergency light unit by exam room 3 does not work when tested.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Tenant responsible to repair emergency light.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 3 Surge protectors are interconnected in the office area.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Completed	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 337 Finding 4 Unapproved multi outlet adapters are plugged into electrical outlets throughout the office.	NA	NFPA 101, Life Safety Code, Chapters 39.5.1, 9.1.2; and NFPA 70 National Electrical Code	Tenant will remove outlet adapters.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 360 Finding 1 There are multiple locking devices installed on all egress doors.	NA	NFPA 101, Life Safety Code, Chapters 13.2.2.2 and 7.2.1.5.10	Space is unoccupied. When space is occupied, will bring locks up to code.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 360 Finding 2 The fire alarm system lacks a current annual inspection tag. The last inspection tag is dated 2010.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Unit 360 Finding 3 The fire sprinkler system lacks a current annual inspection tag. The last inspection tag is dated 2009.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Woodhill Square	UNT	Units 100, 106 and 108 Finding 1 The portable fire extinguishers lack current annual inspection tags.	NA	NFPA 101, Life Safety Code, Chapter 4.6.12.1	Fire Systems will conduct inspection. If space is unoccupied, fire extinguishers will be removed until such time the space is re-occupied.	Tommy Jones, Firefighter/EMT, ACO U.N.T. Emergency Services Risk Management Services	1/30/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and assembly use. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 The sidewall sprinkler head in stair 2-ground floor has receded and is obstructed by the gypsum wall board. NFPA 101, Life Safety Code, Chapter 4.6.12.1; and NFPA 25, Standard for Inspection, Testing and Maintenance of Water Based Fire Protection Systems	Fire systems is sourcing the correct cover for the sprinkler head.	NA	8/31/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and assembly use. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room.	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 1 The commercial cooking equipment has wheels on the units and subject to being moved. This allows the units to be located in an area not in direct alignment with the UL-300 suppression system nozzle coverage as originally designed. NFPA 101, Life Safety Code, Chapter 29.3.2.5.1; and NFPA 96, Standard for Ventilation Control and Fire Protection of Commercial Cooking Operations	Requesting Dining input	NA	5/29/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 2 The boiler room has unsealed penetrations. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	Hiring a contractor to complete the work.	NA	12/19/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 3 The UL-300 wet chemical fire suppression system is red tagged stating "no electrical shut off to the fryers" tag is dated 8-14-2014 NFPA 101, Life Safety Code, Chapters 4.6.12.1	Electrician is scheduled to complete the work next week.	NA	12/1/2014	Closed
External	State Fire Marshal's Office	Fiscal Year 2015	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas, Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Exit path diagrams being produced in-house.	NA	8/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	None	NA	NA	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Facilities Certification Review	UNT	Based on the results of procedures performed, we concluded the projects and acquisitions of real property submitted to Texas Higher Education Coordinating Board (THECB) received required approvals, re-approvals or review, and were completed in accordance with rules established by the Texas Administrative Code and within the parameters specified in the project applications that were	NA	None	NA	NA	NA	NA

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Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	UNT Presidents' Expenditures	UNT	Travel reimbursements were not reviewed and approved by the Chancellor as required by the terms of the employment agreements. Instead, travel reimbursements were reviewed and approved by Vice President for Finance or the Vice President for Research. We discussed this observation with management and prior to the end of our work, management changed this practice and now all vouchers are approved by the Chancellor.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	Chancellor's Expenditures Review	UNT System	None	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	HSC Presidents' Expenditures Review	UNTHSC	Auditors reviewed purchases made via the eProcurement (EPro) process and with the purchasing card (PCard) for fiscal year 2014. The results disclosed that PCard reconciliations did not contain a reconciler signature. This observation was discussed with management during the review, who agreed to take the PCard refresher training course offered by the BSC and that future expense reports generated by the Citibank Global Management System are prepared and will include cardholder, reconciler and	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	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	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 (CPRI)	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	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 / 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	Cancer Prevention and Research Institute of Texas (CPRI)	UNT	<p>Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor.</p> <p>The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was</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 (CPRI)	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</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 (CPRI)	UNT	<p>Noncompliance with Business Support Services (BSS) Purchasing Policy – BSS Purchasing Policies for obtaining gift cards used as research participant payments were not followed for 6 of 23 (26%) transactions reviewed for grant ID PP110190. A total of \$8,000 in cash was disbursed from BSS at the request of the University to an UNTHSC employee, who then purchased gift cards from a local vendor.</p> <p>The University was unable to provide support documentation evidencing expenditures related to the purchase and disbursement of gift cards. This issue was</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
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT System	<p>Compliance with System Policy Requirements – Based on Internal Audit's detail review of investment information reported for period ending May 31, 2014, the resulting recalculation of short term and long term investment percentages for UNT System based on market values were 50.6% and 49.4% respectively. These percentage investment results were not within establish Board approved investment percentage range requirements for short and long term investments.</p> <p>Per UNT System policy 08.2000 the range for short term investments is to be at least 55% but not more than 75%. For long term investments the percentage range is to be at least 25% but not more than 45%.</p>	Low	Review the Investment of System Funds Regulation 08.2000 pertaining to short and long term investment percentages to determine if the percentage requirement ranges should be updated to reflect the potential actual investment needs of the UNT System and its institutions.	Concur. System Regulation 08.2000 is already under review for potential revisions, including appropriate percentage ranges for each investment pool. In addition, the increased professional staffing in Treasury will allow for improved compliance with the current and future versions of the regulation. Review of System Regulation 08.2000 to determine if modification is needed and resulting Board Order, if so.	James Mauldin, Associate Vice Chancellor for Treasury	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Governance and Regulatory Compliance	FY 2014 Investments Audit	UNT Dallas	UNT Dallas is in compliance with the PFI, 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

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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 (WMGF) will oversee activity of the WMGF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	2. Hope Garcia, Executive Director, of Student Affairs Administration and Gary 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	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Recover funds remaining after the project was completed.	3. Management agrees. Management agrees to determine the department that was transferred funds and request the excess of \$3,818 be returned.	3. Elizabeth With, Vice President of Student Affairs and Hope Garcia, Executive Director of Student Affairs Administration	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Excess funds transferred from the Environmental Service Fee (ESF) fund to another department for an approved project were not claimed after project was completed. \$3,818 out of the total funds transferred for a project remained with the department when the project was complete. The excess funds were not transferred back to the fund.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Develop procedures to fully account for use of money transferred from the ESF fund. Implementation will ensure compliance with TEC Section 54.5041.	4. Management agrees. If funds are committed to an effort in partnership with another department, funds may only be used in one of two ways: a. Through IDO which lists exact line time costs; b. By directly purchasing items/services from the ESF rather than transferring a lump sum.	4. Hope Garcia, Executive Director, of Student Affairs Administration	2/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2015	Academic and Students	Office of Sustainability Audit	UNT	Two tablets and a parking pass were not eligible to be paid using Environmental Service Fee (ESF). The following specific issues were identified: • \$10 was used to pay for a parking pass. • \$875 was used to purchase tablets.	Low	Recommendations to Hope Garcia, Executive Director of Student Affairs Administration: Move the expenditures incorrectly charged to the fund to an alternative funding source.	6. Management agrees. An advisor of the We Mean Green Fund (WMGF) will oversee activity of the WMGF Committee and provide guidance to committee on purpose of the fee and allowable purposes through the Committee Bylaws and ongoing training for returning and new committee members.	6. Hope Garcia, Executive Director of Student Affairs Administration and Gary Cocke, Student Coordinator of	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	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	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

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Internal	UNTHSC Institutional Compliance Office	Fiscal Year 2015	Governance and Regulatory Compliance	Safety and Security Audit (conducted by UNTHSC Institutional Compliance Office)	UNTHSC	Institutional Compliance (IC) found that per the Fire Drill Report, corrective actions needed to be implemented and another Fire Drill should have been scheduled five to six months after to evaluate the efficiency of the corrective actions. Facilities had scheduled a complete fire alarm upgrade for the Gibson D. Lewis Library and the Safety Officer decided to perform the next drill in the building after the upgrade was completed. Funding for the fire alarm upgrade has been secured by Facilities for fiscal year 2016. The engineering has been completed, the next step is the installation. Brian Jordon is the Project Manager.	NA	IC recommends that the Safety Office conduct at least one emergency of fire drill exercise in the PCC and other high occupancy, multi-story buildings.	A fire drill schedule has been implemented that tests each building at least once a year. A large scare emergency management exercise will be conducted in the PCC in October, 2016.	Matthew Moncus, Director, Safety Office	10/28/2016	Closed
External	City of Denton	Fiscal Year 2016	Governance and Regulatory Compliance	Fats, Oils, and Grease (FOG) Trap Inspection	UNT	No findings/issues identified.	NA	No findings/issues identified.	No findings/issues identified.	NA	NA	NA
External	City of Denton	Fiscal Year 2016	Governance and Regulatory Compliance	City of Denton NOV	UNT	During compliance monitoring activities conducted by the City of Denton on April 19, 2016, the mercury value for a sample collected at Outfall 004, had a value of 0.0029 mg/L exceeding the value established by the permit. As a result, UNT is Non-Compliant pursuant to City of Denton Code of Ordinances Chapter 26 Section 26-187; to-wit: discharge of wastewater containing mercury exceeding established Local Limits into Sanitary Sewer System.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport	NA	NA	Closed
External	City of Denton	Fiscal Year 2016	Governance and Regulatory Compliance	City of Denton NOV	UNT	During compliance monitoring activities conducted by the City of Denton between April 19, and April 21, 2016, the copper values for three samples collected at Outfall 004, had a value of 1.5804 mg/L on April 19, a value of 2.1484 mg/L on April 20, and a value of 0.8595 mg/L on April 21, all three exceeding the value established by the permit. As a result, UNT is Non-Compliant pursuant to City of Denton Code of Ordinances Chapter 26 Section 26-187; to-wit: discharge of wastewater containing copper exceeding established Local Limits into Sanitary Sewer System.	NA	Submit the following within 15 days of receipt of this notice: The problem per the Notice of Violation issued. The possible cause of the problem. The steps being taken to minimize or curtail the recurrence of the problem.	The university is taking a comprehensive, multiple-stepped approach to minimizing future violations, both in the short and long-term. In addition to continuing our hazardous waste training program, which is required for all individuals who work in laboratories; inspecting laboratories to facilitate compliance with environmental, and health and safety laws; following RCRA rules for segregating, packing, and disposing of waste to reduce the chance for pollutants to enter the sanitary sewer or storm water transport systems.	NA	NA	Closed
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission	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	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Patient Outcome Baseline Milestone Achievement; 1115 Waiver	UNTHSC	Verify Patient Outcome Baseline Data - Project#138980111.3.204	NA	None	NA	NA	NA	NA
External	Myers and Stauffer LC on behalf of Texas Health and Human Services Commission	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	Fiscal Year 2016	Governance and Regulatory Compliance	Verification of Community Based Clinics/Mobile Teams Milestone Achievement	UNTHSC	Verify that 2 community based clinics were established and providing services between 10/1/2013 and 9/30/2014. Verify that 4 mobile clinic teams were established and providing services between 10/1/2013 and 9/30/2014. - Project# 138980111.1.2	NA	None	NA	NA	NA	NA

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External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Cost of Attendance</u> : For 15 (24 percent) of 62 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Making incorrect COA calculations could result in under awards or over awards of financial assistance.	NA	The University should: - Include loan fees in COA only for students who receive loans and ensure that it does not make over awards of financial assistance as a result of removing the loan fees.	<u>Cost of Attendance (COA)</u> Management implemented changes last year in August 2014 to include loan fees in the COA budget for students who receive loans and ensure that the changes do not cause over awards of financial assistance as a result of removing the loan fees. Management modified the existing process to make adjustments more frequently throughout the year. Management implemented changes to identify students who have default values within the COA and have an ISIR to calculate each student's COA based on the correct budget.	Dena Guzman-Torres and Lacey Thompson	7/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Cost of Attendance</u> : For 15 (24 percent) of 62 students tested, the University of North Texas (University) incorrectly or inconsistently calculated COA. Making incorrect COA calculations could result in under awards or over awards of financial assistance.	NA	The University should: - Calculate each student's COA based on the correct budget.	<u>Cost of Attendance (COA)</u> Management implemented changes last year in August 2014 to include loan fees in the COA budget for students who receive loans and ensure that the changes do not cause over awards of financial assistance as a result of removing the loan fees. Management modified the existing process to make adjustments more frequently throughout the year. Management implemented changes to identify students who have default values within the COA and have an ISIR to calculate each student's COA based on the correct budget.	Dena Guzman-Torres and Lacey Thompson	7/1/2015	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Satisfactory Academic Progress</u> : The University's SAP policy did not meet certain federal requirements at the beginning of the award year. As a result, for 2 (3 percent) of 62 students tested, the University did not correctly determine their SAP status.	NA	The University should: - Continue to ensure that its SAP policy meets federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; ensuring that the policy requires students to graduate within the maximum time frame; and making the SAP policy at least as strict as its academic policy.	<u>Satisfactory Academic Progress</u> Management implemented changes in the middle of the term last year in November 2014, after it was identified by the auditors, to its SAP policy to meet federal requirements by calculating the quantitative pace requirement on a cumulative basis, rather than an annual basis; to ensure students graduate within the maximum time frame to make the SAP policy as strict as its academic policy.	Dena Guzman-Torres and Lacey Thompson	11/1/2014	Closed
External	State Auditor's Office	Fiscal Year 2016	Finance	State of Texas Compliance with Federal Requirements for the Student Financial Assistance Cluster for the Fiscal Year Ended August 31, 2015	UNT	<u>Federal Pell Grant</u> : The University did not disburse Federal Pell Grant funds to one student who was eligible to receive those funds.	NA	The University should: - Disburse Federal Pell Grant funds to all eligible students.	<u>Pell Grants</u> Management implemented changes to ensure the disbursement of Federal Pell Grant funds to all eligible students.	Abby Goynes and Lacey Thompson	7/1/2015	Closed
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

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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	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	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	All Components	Were Not Fully Compliant with the Act (Source: State Auditor's Office review of the compliance audit reports that internal or external auditors issued.)	NA	None	NA	NA	NA	NA
External	State Auditor's Office	Fiscal Year 2016	Finance	Federal Portion of the Statewide Single Audit Report for the Year Ended August 31,	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	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	On 1/28/16 we submitted a RFP for a Modular building that will eliminate the need to store these items in the machine room.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 2/28/2017	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-03 Safety: Electrical Safety: Exterior Outlet (Outside of Kitchen) - SORM noted during the consultation that an exterior outlet outside of the kitchen was missing its required cover.	NA	SORM recommends that the university replace this cover in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code,"	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-04 Safety: Fire Safety: Firestops in Telecommunications Room - SORM noted during the consultation that telecommunications room #361 was lacking required firestops on wall penetrations made due to data-communications wiring.	NA	SORM recommends that the university firestop these penetrations in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapter 8.3.5.1	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-05 Safety: Fire Safety: Fire Doors, Equipment, and Assemblies - SORM noted during the consultation that the fire doors and assemblies on campus were in varying states of compliance with the fire and life safety codes with regard to the display of their fire-resistance ratings.	NA	SORM recommends that the university conduct an inventory of all fire doors, equipment, and assemblies and then ensure that each are labeled in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 8.3.3.1, 8.3.3.2, 8.3.3.2.2, 8.3.3.2.3, 8.3.3.2.3.1	We are going through the building's submittals and plans from construction to confirm the fire code ratings and have it displayed properly. Also working with UNT Risk Management to get them properly rated.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-06 Safety: Light Bulb Cover (Mechanical Room-Building #1) - SORM noted during the consultation that light bulbs in the southeast corner of the mechanical room in Building #1 were fewer than eight feet from ground level and were missing a required cover.	NA	SORM recommends that the university cover these bulbs, as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.305 (j)(1)(i)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	1/14/2016	Closed
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,	NA	Considering these and other factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	Risk assessment to be complete by 7/31/16	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 7/31/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-01 Safety: Fire Safety: Fire Extinguisher (Library) - SORM noted during the consultation that the fire extinguisher in the Center for Innovative Learning, room 448 in the Library, was a Carbon Dioxide "B/C" type of extinguisher.	NA	SORM recommends that UNTHSC replace this extinguisher with an A/B/C Dry Chemical type of extinguisher due to the hazard classification and type of combustible material present in this location, as per the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5; 9.7.4.1; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 5.1, 5.2.1, 5.4.1.2	Fire Extinguisher was replaced with the proper type.	Matthew Moncus, Director, Safety Office	11/13/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-02 Safety: Fire Safety: Exit Signage (PCC Building) - SORM noted during the consultation that the hallway on the first floor near room 174 was lacking a required exit sign to direct travel in emergency situations.	NA	SORM recommends that the university install an approved, listed exit sign in accordance with the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.2.10, 7.10.2.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed

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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	The Safety Office has created an inspection checklist with frequencies for eyewashes and safety showers, and will conduct the inspections accordingly.	Matthew Moncus, Director, Safety Office	11/30/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-07 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms - SORM noted during the consultation that many of the mechanical, boiler, and electrical equipment rooms on campus were being used to store combustible materials such as cardboard boxes, paper, etc.	NA	SORM recommends that the university remove all combustible materials from boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.19.5.2 of NFPA-1 states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.") Reference: NFPA-1 (2015), "Fire Code," Chapters 10.19.5.1, 10.19.5.2	Combustible materials have been removed from mechanical/electrical/boiler rooms.	Matthew Moncus, Director, Safety Office	12/4/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-08 Safety: Occupational Noise: Testing (EAD Boiler Room) - SORM noted during the consultation that the EAD Boiler Room was an area of concern with regard to excess occupational noise.	NA	SORM recommends that the university measure the noise levels in this area as per the OSHA standard referenced below, and determine if a hearing protection program should be implemented. Reference: OSHA, 29 CFR 1910.95, "Occupational Noise Testing"	Noise levels were measured and were determined to be below the 85dB threshold for implementing a hearing protection program. However, hearing protection will be made available and training will be conducted on proper usage of hearing protection for employees who may work in that area.	Matthew Moncus, Director, Safety Office	12/11/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-09 Safety: Fire Safety: Electrical Panelboard (CBH Building) - SORM noted during the consultation that an electrical panelboard in room 5ME1 was missing a list of what each circuit breaker controls.	NA	SORM recommends that the university label this panelboard in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 408.4	The Facilities Electrician has been assigned to properly label the panel board.	Matthew Moncus, Director, Safety Office	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-10 Safety: Fire Safety: Escutcheon Plate (CBH Building) - SORM noted during the consultation that an escutcheon plate over a sprinkler head on the fifth floor of the CBH Building was missing.	NA	SORM recommends that the university replace this escutcheon plate in accordance with the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 4.6.12.4, 9.7.1.1; NFPA-13 (2016), "Standard for the Installation of Sprinkler Systems," Chapter 6.2.7	Escutcheon plate was replaced.	Matthew Moncus, Director, Safety Office	11/6/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-11 Safety: Fire Safety: Exit Sign (CBH Building) - SORM noted during the consultation that an exit sign near the 252 stairwell is insufficiently lit.	NA	SORM recommends that the university replace this exit sign with one that performs in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 39.2.10, 7.10, 7.10.5.1	Signs will be ordered and installed by Facilities.	Matthew Moncus, Director, Safety Office	1/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-12 Safety: Fire Safety: Electrical Panelboard (UNT-System HR Building) - SORM noted during the consultation that an electrical panelboard in the exterior mechanical room of the UNT-System HR Building was missing a required knockout and a list indicating which circuit each circuit	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

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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,	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	Matthew Moncus, Director, Safety Office	10/28/2016 (Exercise is scheduled based on availability of City of Fort Worth resources.)	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-15 Risk Management: Policies/Procedures: Incident Investigations - SORM noted during the consultation that root cause analyses of appropriate incidents is not currently occurring in a formalized manner.	NA	SORM recommends that the university provide incident investigation training for at least the University Safety Officer. Upon completion of this training, root cause analyses should be conducted for each appropriate incident that occurs. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 5, Subchapter 5.7	The Safety Director will attend an incident investigation course and conduct root cause analyses for each incident.	Matthew Moncus, Director, Safety Office	5/31/2016 Not yet implemented. SORM stopped offering this course, and an alternative has not been identified.	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNTHSC	16-11-16 Risk Management: Policies/Procedures: Facilities Maintenance Staff - SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: <ul style="list-style-type: none"> • Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. • New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. • Adoption of NFPA-1 (Fire Code) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards. • The availability of and desire to obtain and utilize an infra-red scanning device to detect electrical issues on campus before they result in failure and subsequent fire. 	NA	Considering all of these factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	An assessment will be conducted to determine appropriate staffing levels.	Matthew Moncus, Director, Safety Office	8/31/2016 Not yet implemented. An assessment of only Safety personnel revealed appropriate staffing levels based on square footage, population, and workload.	Closed
External	Grant Thornton	Fiscal Year 2016	Governance and Regulatory Compliance	Financial Report of the University of North Texas for SACS Accreditation	UNT	Based on our review, we are not aware of any material modifications that should be made to the accompanying financial statements in order for them to be in accordance with accounting principles generally accepted in the United States of America.	NA	None	NA	NA	NA	NA
External	Southern Association of Colleges and Schools Commission on Colleges	Fiscal Year 2016	Governance and Regulatory Compliance	Southern Association of Colleges and Schools Commission on Colleges Fifth-Year Interim Report	UNTHSC	Regional SACSCOC Accreditation	NA	None	NA	NA	NA	NA
External	Texas Department of State Health Services	Fiscal Year 2016	Governance and Regulatory Compliance	Radiation Safety Program Audit	UNTHSC	We have determined that your radiation safety program appears to be in compliance.	NA	None	NA	NA	NA	NA

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External	Texas Higher Education Coordinating Board	Fiscal Year 2016	Governance and Regulatory Compliance	Sandia National Lab (Federal) financial and compliance audit (Office of Grant and Contract Administration)	UNT	Based on our review of the costs claimed by the contractor, no adjustments of the contractor's claim came to our attention that exceeded established materiality levels. The contractor's management concurred with the results of the audit.	NA	None	NA	NA	NA	NA
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2015-001 Condition – There were two employees listed on the FY15 Effort Report that were not listed in the Personnel Level of Effort in the original approved grant budget. Questioned Costs – \$47,412 Context – Out of 2,661 expenditures totaling \$1,643,255, a sample of 40 expenditures totaling \$105,128 was selected for testing. Four payroll related expenditures totaling \$300.60 for individuals that were not included on the approved Personnel Level of Effort budget. The total payroll related expenditures charged to the CPRIT program for these two employees totaled \$47,412. The sample selected was not, and was not intended to be, statistically valid.	NA	The University should review their policies and procedures to ensure that CPRIT is notified and provides approval when necessary for any changes to employees or positions named in the original approved grant budget.	Management agrees with the recommendation and has already resolved the issue as it was discovered during the prior year audit. Audits for FY13 and FY14 were combined and completed August 14, 2015 which prevented any corrective action from being implemented during FY15. Management provided written and verbal training to Principal Investigators regarding CPRIT's notification and approval procedures related to names and positions listed in the Personnel Level of Effort section of the approved budget.	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2013-001 Condition – The University had incomplete support for four out of the twenty-two and one of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowed under State awards, costs must have complete and adequate documentation. Questioned Costs – 2013: \$2,839.73; 2014: \$2,340.00 Context – The University was unable to provide complete evidence for expenditures related to the purchase and disbursement of gift cards that were deemed necessary and reasonable for proper and efficient performance and administration of the CPRIT program.	NA	None	NA	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-001 Condition – The University had incomplete support for four out of the twenty-two and one of twenty-five judgmentally selected expenditures for fiscal years 2013 and 2014, respectively. To be allowed under State awards, costs must have complete and adequate documentation. Questioned Costs – 2013: \$2,839.73; 2014: \$2,340.00 Context – The University was unable to provide complete evidence for expenditures related to the purchase and disbursement of gift cards that were deemed necessary and reasonable for proper and efficient performance and administration of the CPRIT program.	NA	None	NA	NA	NA	Closed
External	BKD, LLP	Fiscal Year 2016	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program-Specific Audit Report	UNTHSC, UNT	2014-002 Condition – The University was reimbursed for one travel related expenditure, in which the travel did not occur, out of the twenty-five expenditures judgmentally selected for testing. The University did not subsequently reimburse CPRIT for the expenditure. Questioned Costs – \$142.02 Context – The University requested reimbursement for an expenditure that did not occur.	NA	None	NA	NA	NA	Closed

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

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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</p>	NA	<p>NFPA 101, Life Safety Code, Chapters 8.3.3.1 and NFPA 80 Standard for Fire Doors and other Opening Protectives</p> <p>Building Services Violation</p>	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</p>	NA	<p>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</p>	We still have the storage issue in the building and are working to lease a Modular building to place the items. I am actually meeting with the company on Tuesday 10/18/16, to walk the site where it will be placed.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: NA Revised Imp. Date: 11/30/2017	All SFMO recommendations are open until the next SFMO visit.
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 / 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 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT System	16-11-01 Safety: Fire Safety: Fire Alarm System (Woodhills – BSC) SORM noted during the consultation that the fire alarm system was overdue for its annual inspection.	NA	SORM recommends that the university have the system inspected as soon as possible and annually thereafter, as per the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapter 9.6.1.3, 9.6.1.4; NFPA-72 (2016), "National Fire Alarm and Signaling Code," Chapter and Table 14.3.1	NA	NA	NA	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-01 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms - SORM noted during the consultation that mechanical, boiler, and electrical equipment ("chiller") rooms on campus were being used to store combustible materials such as cardboard boxes, paper, etc.	NA	SORM recommends that the university remove all combustible materials from all boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.18.5.2 of NFPA-1 (2015) states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.") In one area of the large mechanical room in Building 1, a room has been constructed which if built to code would be sufficient to house combustible materials. Currently, it does not meet code, however, and therefore, all combustible materials should be removed from this location. Reference: NFPA-1 (2015), "Fire Code," Chapters	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	On-Site Consultation Report	UNT	16-11-01 Safety: Fire Safety: Mechanical/Boiler/Electrical Equipment Rooms a) SORM noted during the consultation that mechanical, boiler, and electrical equipment rooms on campus (including in West Hall, Sycamore Hall, and Clark Hall) were being used to store combustible materials such as cardboard boxes, paper, etc. b) In Sycamore Hall, this includes a large cage built for holding janitorial supplies, many of which are combustible. With the approval of the Authority Having Jurisdiction (State Fire Marshal's Office), the university could choose to store these supplies in an interior room within the large mechanical room if it is designed and built according to code, rather than removing the supplies and storing them elsewhere. Reference: NFPA-1 (2015), "Fire Code," Chapters 10.18.5.1,	NA	SORM recommends that the university remove all combustible materials from boiler rooms, mechanical rooms, and electrical equipment rooms in accordance with the NFPA standard referenced below. (Note: Chapter 10.18.5.2 of NFPA-1 (2015) states that "Materials and supplies for the operation and maintenance of the equipment in the room shall be permitted.")	All combustible materials have been removed. Custodial cage will be modified to meet code.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-02 Safety: Chemical Safety: Hazard Communication/Eyewash Stations SORM noted during the consultation that in several boiler rooms on campus, including in Crumley Hall, Maple Hall, Clark Hall, and McConnell Hall, corrosive water-treatment chemicals are being used. However, no Safety Data Sheets are present at the locations and no eyewash stations are present.	NA	SORM recommends that the university install ANSI-compliant eyewash stations in locations where corrosive chemicals are being used and maintain copies of the Safety Data Sheets for these chemicals in these locations. All employees exposed to these hazards should be trained on Hazard Communication in accordance with the OSHA standard referenced below, and any relevant third-party vendor safety programs should be reviewed for compliance with the OSHA standard. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard	ANSI-compliant eyewash stations will be installed.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT	16-11-02 Safety: Chemical Safety: Hazard Communication/Eyewash Stations SORM noted during the consultation that in several boiler rooms on campus, including in Crumley Hall, Maple Hall, Clark Hall, and McConnell Hall, corrosive water-treatment chemicals are being used. However, no Safety Data Sheets are present at the locations and no eyewash stations are present. SORM recommends that the university install ANSI-compliant eyewash stations in locations where corrosive chemicals are being used and maintain copies of the Safety Data Sheets for these chemicals in these locations. All employees exposed to these hazards should be trained on Hazard Communication in accordance with the OSHA standard referenced below, and any relevant third-party vendor safety programs should be reviewed for compliance with the OSHA standard. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	NA	SORM recommends that the university install ANSI-compliant eyewash stations in locations where corrosive chemicals are being used and maintain copies of the Safety Data Sheets for these chemicals in these locations. All employees exposed to these hazards should be trained on Hazard Communication in accordance with the OSHA standard referenced below, and any relevant third-party vendor safety programs should be reviewed for compliance with the OSHA standard. References: OSHA, 29 CFR 1910.1200, "Hazard Communication"; ANSI/ISEA, z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	NA	NA	NA	Closed
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	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: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT System	16-11-02 Safety: Fire Safety: Exit Signs (Woodhills – BSC) SORM noted during the consultation that for egress emanating from the part of the office near room #4067, the electrical room, a path of emergency egress is not clearly identified by exit signage.	NA	SORM recommends that the university install approved, listed, and labeled exit signs from this area to exit points in the building that conform to the requirements of the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 29.2.1.1, 29.2.10, 7.10, 7.10.5.1, 7.10.5.2	NA	NA	Closed	
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-03 Safety: Electrical Safety: Exterior Outlet (Outside of Kitchen) - SORM noted during the consultation that an exterior outlet outside of the kitchen was missing its required cover.	NA	SORM recommends that the university replace this cover in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code,"	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT System	16-11-03 Safety: Fire Safety: Escutcheon Plate (Woodhills – BSC) SORM noted during the consultation that an escutcheon plate was missing over a sprinkler head in room 4202 A.	NA	SORM recommends that the university replace this escutcheon plate in accordance with the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 4.6.12.4, 9.7.1.1; NFPA-13 (2016), "Standard for the Installation of Sprinkler Systems," Chapter 6.2.7	NA	NA	Closed	
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-03 Safety: Fire Safety: Firestops in Mechanical Rooms (West and Chilton Halls) SORM noted during the consultation that mechanical rooms in West Hall and Chilton Hall were lacking required firestops on wall penetrations.	NA	SORM recommends that the university firestop these penetrations in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapter 8.3.5.1	All penetrations will be fire stopped.	Randy Fite, Senior Director, Facilities Maintenance	4/1/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-04 Safety: Fire Safety: Fire Door (Mechanical Room – West Hall) SORM noted during the consultation that a fire door in a mechanical room of West Hall was not displaying its fire rating.	NA	SORM recommends that the university determine the fire rating of the door and then label it according to the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 8.3.3.1, 8.3.3.2, 8.3.3.2.2, 8.3.3.2.3, 8.3.3.2.3.1	The fire rating of the door will be determined and posted.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-04 Safety: Fire Safety: Firestops in Telecommunications Room - SORM noted during the consultation that telecommunications room #361 was lacking required firestops on wall penetrations made due to data-communications wiring.	NA	SORM recommends that the university firestop these penetrations in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapter 8.3.5.1	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	12/2/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-05 Safety: Fire Safety: Evacuation Diagrams and Room Numbers (West Hall) SORM noted during the consultation that the evacuation diagrams provided in the South wing of West Hall indicate room numbers with a fourth floor designation, even though they are on the first floor of the building. Since this can be extremely confusing to emergency responders (and residents) who may not be as familiar with the particular layout of this building as might be desired.	NA	SORM recommends that the university consider the feasibility of designing the emergency evacuation diagrams and room numbers such that this kind of confusion is eliminated, while maintaining the clarity and accuracy of the diagrams and associated fire/emergency plans. References: NFPA-1 (2015), "Fire Code," Chapter 10.8.1, 10.8.2.1; NFPA-101 (2015), "Life Safety Code," Chapters 29.7.4.1, 29.7.4.2, 29.7.5, 7.10.8.5	Will redesign the south wing numbers to reduce confusion.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-05 Safety: Fire Safety: Fire Doors, Equipment, and Assemblies - SORM noted during the consultation that the fire doors and assemblies on campus were in varying states of compliance with the fire and life safety codes with regard to the display of their fire-resistance ratings.	NA	SORM recommends that the university conduct an inventory of all fire doors, equipment, and assemblies and then ensure that each are labeled in accordance with the NFPA standard referenced below. Reference: NFPA-101 (2015), "Life Safety Code," Chapters 8.3.3.1, 8.3.3.2, 8.3.3.2.2, 8.3.3.2.3, 8.3.3.2.3.1	We are going through the building's submittals and plans from construction to confirm the fire code ratings and have it displayed properly. Also working with UNT Risk Management to get them properly rated.	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 3/30/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-06 Safety: Electrical Safety: Water in Mechanical Rooms (Sycamore Hall and Marquis Hall) SORM noted during the consultation that a significant amount of water was on the floor of the mechanical rooms in Sycamore and Marquis Halls.	NA	SORM recommends that the university determine the source of the water leakage and prevent the accumulation by either stopping the leak or improving the drainage process in these areas. Reference: OSHA, 29 CFR 1910.333 (a) and 303 (b)	Condensation leak on AHU1 at Marquis has been repaired. Clogged floor drain at Sycamore has been cleared.	Randy Fite, Senior Director, Facilities Maintenance	12/1/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-06 Safety: Light Bulb Cover (Mechanical Room-Building #1) - SORM noted during the consultation that light bulbs in the southeast corner of the mechanical room in Building #1 were fewer than eight feet from ground level and were missing a required cover.	NA	SORM recommends that the university comply with these bulbs, as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.305 (j)(1)(i)	Recommendation has been implemented.	Wayne McInnis, Assistant Director for Facilities	1/14/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-07 Safety: Fire Safety: Fire Alarm System (Matthews Hall) SORM noted during the consultation that the fire alarm system in Matthews Hall was overdue for its annual inspection.	NA	SORM recommends that the university have the system inspected as soon as possible and annually thereafter, as per the NFPA standard referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapter 9.6.1.3, 9.6.1.4; NFPA-72 (2016), "National Fire Alarm and Signaling Code," Chapter and Table 14.3.1	NA	Randy Fite, Senior Director, Facilities Maintenance	11/25/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-07 Safety: Fire Safety: Storage Under Stairwell - SORM noted during the consultation that the State Fire Marshal's Office recommended that the university either remove a sprinklered, locked storage room under a stairwell in Building #1, or construct a doorway that leads directly outside and remove the doorway in the interior of the building, replacing it with a wall.	NA	SORM recommends that the university comply with the findings of the State Fire Marshal's Office in the timeframe as directed by the SFMO. Reference: NFPA-1 (2015), "Fire Code," Chapters 1.6, 1.7.3.1	We have proposals from 3 contractors to remove the enclosure and bring the stair well up to code.	Wayne McInnis, Assistant Director for Facilities	4/30/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	Risk Management Program Review	UNT Dallas	16-11-08 Risk Management: Policies/Procedures: Facilities Maintenance Staff - SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: a) Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. b) New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. c) Adoption of NFPA-1 (Fire Code-2012) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however,	NA	Considering these and other factors, SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	Risk assessment to be complete by 7/31/16	Wayne McInnis, Assistant Director for Facilities	Expected Imp. Date: 7/31/2016 Revised Imp. Date: 11/30/2017	All SORM recommendations are open until the next SORM visit, in November, 2017.
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-08 Safety: Light Bulb Cover (Crumley Hall) SORM noted during the consultation that a light bulb in room A/C 3 of Crumley Hall fewer than eight feet from ground level was missing a required cover.	NA	SORM recommends that the university cover this bulb, as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.305 (j)(1)(i)	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-09 Safety: Electrical Safety: Open Junction Boxes (Clark Hall) SORM noted during the consultation that several junction boxes in the boiler room of Clark Hall were uncovered.	NA	SORM recommends that the university cover these junction boxes in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 314.28©	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-10 Safety: Fire Safety: Fire Suppression System (Clark Hall Bakery) SORM noted during the consultation that the mobile cooking equipment beneath the nozzles of the fire suppression system of the Clark Hall Bakery did not have its proper location marked relative to the nozzles.	NA	SORM recommends that the university have a qualified individual determine the exact proper location for this piece of equipment, and then mark the location so that the fire suppression system will function as intended by the manufacturer in the event of a fire. References: NFPA-1 (2015), "Fire Code," Chapters 50.1.1, 50.6.1.2.2, 50.6.1.2.3, 50.6.1.2.3.1	Exact proper location for the fire suppression system of the Clark Hall Bakery will be determined and marked by a qualified professional.	Randy Fite, Senior Director, Facilities Maintenance	2/12/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-11 Safety: Fire Safety: Electromagnetic Door Release/Holder (Clark Hall) SORM noted during the consultation that an electromagnetic door release/holder on the first floor of Clark Hall was not functioning. This door is part of an emergency egress route for this building.	NA	SORM recommends that the university ensure that this electromagnetic door release/holder operates as intended by the manufacturer, as per the NFPA standard referenced below. Reference: NFPA-1 (2015), "Fire Code," Chapter 12.4.6.9.1, 12.4.6.6.3.7.1, 12.4.6.6.3.7.2	Will fix the electromagnetic door.	Randy Fite, Senior Director, Facilities Maintenance	3/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-12 Safety: Fire Safety: Exit Signs (Clark Hall) a) SORM noted during the consultation that an exit sign in front of room 311 in Clark Hall is not sufficiently lit. b) SORM noted that an exit sign near room 354 had its chevrons indicating a wrong direction of travel.	NA	SORM recommends that the university install an approved, listed, and labeled exit sign in this area that conforms to the requirements of the NFPA standard referenced below. SORM recommends that the university ensure that this sign indicates the correct direction of travel for emergency situations. References: NFPA-101 (2015), "Life Safety Code," Chapters 29.2.1.1, 29.2.10, 7.10, 7.10.5.1, 7.10.5.2	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-13 Safety: Machine Safety: Machine Guard (McConnell Hall) SORM noted during this consultation that a moving part on an air handler in the boiler room of McConnell Hall was missing a required guard.	NA	SORM recommends that the university guard this part in accordance with the manufacturer's design and as per the OSHA standard referenced below. Reference: OSHA, 29 CFR 1910.212(a)(1)	Replace missing guard.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-14 Safety: Fire Safety: Fire Extinguisher – Monthly Inspections (McConnell Hall) SORM noted during the consultation that a fire extinguisher in the boiler room of McConnell Hall was overdue for its monthly required inspection.	NA	SORM recommends that the university conduct documented inspections of this fire extinguisher, as per the NFPA standards referenced below. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5, 9.9; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 7.2.1.2.1, 7.2.2	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-15 Risk Management: Property Conservation: Roofing (McConnell Hall) SORM noted during the consultation that the roof of McConnell Hall was exhibiting "bubbling" in many places.	NA	SORM recommends that the university consider the feasibility of contracting with a licensed roofing contractor to determine the best course of action regarding these early signs of roofing weakness. Reference: RMTSA Guidelines, Volume II, Section One, Chapter 1, "Property Conservation Program"	Will conduct a feasibility study to determine the best course of action.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-16 Safety: Electrical Safety: Panelboard Latches (McConnell Hall) SORM noted during the consultation that two electrical panelboard doors in McConnell Hall (Room A/C 8) were essentially locked by having non-functional latches.	NA	SORM recommends that the university replace these latches to ensure that the panelboards can be opened, as per the NFPA standards referenced below. References: NFPA-70 (2014), "National Electrical Code," Article 240.24 (A)	Non-functioning latches will be replaced.	Randy Fite, Senior Director, Facilities Maintenance	1/29/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-17 Safety: Electrical Safety: Water Leak (McConnell Hall) SORM noted during the consultation that one of the "Show Rooms" in McConnell Hall had a significant leak above one of the ceiling tiles, resulting in rust and water accumulation	NA	SORM recommends that the university determine the source of the leak and ensure that the water will no longer present these hazards in this room. References: RMTSA Guidelines, Volume II, Section One, Chapter 1, "Property Conservation Program"	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-18 Safety: Electrical Safety: GFCI for Electric Water Fountains (Chilton Hall) SORM noted during the consultation that at least 4 electric water fountain outlets in Chilton Hall were not protected by GFCI, as required.	NA	SORM recommends that the university protect these and all similar circuits either on the receptacle itself, or on the circuit breaker, as per the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 422.52	All circuits will be replaced with GFCI circuits.	Randy Fite, Senior Director, Facilities Maintenance	9/1/2016	Closed

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External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-19 Risk Management: Policies/Procedures: Expressing Breast Milk SORM noted during the consultation that although the university has procedures in place for allowing employees to express breast milk in the workplace, there is not currently a written policy in place to address this issue.	NA	SORM recommends that the university implement such a written policy in order to comply with House Bill 786, passed by the Texas state legislature and signed into law in 2015. Reference: House Bill 786, Texas State Legislature, 2015. http://www.legis.state.tx.us/tlodocs/84R/billtext/pdf/	UNT Human Resources will develop a policy.	Randy Fite, Senior Director, Facilities Maintenance	8/31/2016	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-20 Safety: Electrical Safety: Exterior Outlet Near Goolsby Chapel SORM noted during the consultation that an exterior outlet near Goolsby Chapel was missing its required cover.	NA	SORM recommends that the university install a cover in accordance with the NFPA standard referenced below. Reference: NFPA-70 (2014), "National Electrical Code," Article 406.9 (B)(1)	NA	Randy Fite, Senior Director, Facilities Maintenance	12/23/2015	Closed
External	State Office of Risk Management	Fiscal Year 2016	Governance and Regulatory Compliance	On-Site Consultation Report	UNT	16-11-21 Risk Management: Policies/Procedures: Facilities Maintenance Staff SORM noted during the consultation that there were several factors that may cause additional stresses on the current structure of the facilities maintenance staff, potentially resulting in required maintenance procedures not being completed as required by various safety codes. These factors include but are not limited to: a) Growth in the square footage of the university's structures, with new buildings being constructed and/or the expansion of current facilities. b) New emphasis from the Texas State Fire Marshal's Office on the enforcement of the SFMO directive from 2005 about frequency of testing of natural gas lines. c) Adoption of NFPA-1 (Fire Code-2012) as the inspection document of the State Fire Marshal's Office, who is the Authority Having Jurisdiction regarding fire/life safety of all state assets. This standard works in conjunction with the previously-adopted NFPA-101 (Life Safety Code), however, it covers many more hazards and conditions.	NA	SORM recommends that the university use a formal risk assessment process to consider whether the current structure and size of the facilities maintenance staff is and will continue to be adequate to meet these needs and others that may emerge over time. Reference: RMTSA Guidelines, Volume III, Section Two, Chapter 2, Subchapter 2.4	Risk assessment to be complete by 7/31/16.	Randy Fite, Senior Director, Facilities Maintenance	7/31/2016	Closed
External	Hartford Steam Boiler Inspection and Insurance Company (HSB), Steritech Group Inc., CNA Healthcare	Fiscal Year 2016	Governance and Regulatory Compliance	Loss Prevention Report, Healthcare Risk Control	UNT	31 reports/audits performed; 110 findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	Hartford Steam Boiler Inspection and Insurance Company (HSB), CNA Healthcare	Fiscal Year 2016	Governance and Regulatory Compliance	Loss Prevention Report, Healthcare Risk Control	UNTHSC	6 reports/audits performed; 6 findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Within the last year or so two offices and a large dishwashing unit were installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. NFPA 101, Life Safety Code, Chapters 29.2.4.1 and 7.4.1.1	Facilities has met with architect. May require design review board approvals.	NA	8/31/2016	Closed

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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 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 The music practice cube area on the first floor has only one means of egress. NFPA 101, Life Safety Code, Chapters 29.2.4.1, 7.4.1.1 and 7.1.5.1	Facilities has met with architect. May require design review board approvals.	NA	8/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a 247 room four story structure classified as a mixed occupancy consisting of existing dormitory, and assembly. Features of fire protection include a complete fire alarm system, smoke detection, sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 11 Fire and smoke doors in the following areas do not close properly. ☐ Corridor smoke door by room A325 ☐ Fourth floor stairwell fire door "D" wing ☐ Corridor smoke door by room C301 NFPA 1, Fire Code, Chapter 12.9.4.1, 12.4.6.9.1 and 12.4.6.9.2(6)	Facilities will repair doors.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The basement area located under the kitchen has only one means of egress and was formally considered a normally unoccupied space that was used for storage only. Two offices and a large dishwashing unit have been installed in the area. This changed the area use to a normally occupied area since employees now work in the space and a second approved means of egress is now required. (2013 violation) NFPA 1, Fire Code, Chapter 14.9.1.1	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 10 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	Facilities to add lighting.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 12 The fire alarm control panel is displaying system troubles. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will determine cause of system trouble and make repairs if needed.	NA	10/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 14 The fire pump room is missing several ceiling tiles that can result in delaying the activation of the sprinkler system. NFPA 1, Fire Code, Chapter 13.3.3.3	Facilities will replace missing ceiling tiles.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 15 The kitchen UL 300 wet chemical fire suppression system for the Combi oven and grill is red tagged since December of 2015, the tag states "No electric shutdown". NFPA 1, Fire Code, Chapter 50.4.6.1	UNT will evaluate the best course of action for completion.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 16 The kitchen fryer unit is on wheels and lacks an approved method to determine the unit is in the proper design location. NFPA 1, Fire Code, Chapter 50.6.1.2.3.1	UNT will install wheel locating device.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 17 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.	Facilities will add bottom rods and floor latching points (or fire pins).	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 18 The PowerAde vending machine located on the "B" wing second floor is blocking the exit access. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	UNT will move the machine away from the exit access.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 19 The portable fire extinguisher located by the dishwasher in the basement has the pin pulled. NFPA 1, Fire Code, Chapter 4.5.8.1	Pin was replaced.	NA	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. ☐ Corridor smoke doors by room C402 ☐ Stairwell fire door south west stairs second floor ☐ Corridor smoke door by room D411 ☐ Corridor smoke door third floor by room A325 ☐ Corridor smoke door by room D320 ☐ Corridor smoke door by room B302 ☐ Corridor smoke door by room D302 ☐ Corridor smoke door by room C301 ☐ Corridor smoke door by room C221 ☐ Corridor fire door by room A201 ☐ Corridor smoke door by room B205 ☐ Corridor fire door by room B222 ☐ Corridor fire door by room A121 ☐ Corridor fire door by room B101	Facilities will add smoke detectors.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 20 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	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 21 The emergency light unit in stairwell 1.1 on the first floor failed to operate when tested. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will replace faulty light.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 22 On the first floor of "A" wing in the Ford room, a sprinkler head is missing the escutcheon. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will install escutcheon.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 23 In the Jon Collins room there is a battery operated smoke alarm on the wall that failed to operate when tested. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove smoke alarm.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 24 The Jon Collins room exterior double exit doors have the right side leaf locked with dead bolts and the right side door leaf only provides a 24 inch exit width. The minimum exit width for existing buildings shall not be less than 28 inches clear width. NFPA 1, Fire Code, Chapter 14.8.3.4.1.2	UNT will evaluate the best course of action for completion.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 26 The electrical room located off the first floor of "B" wing and Hall Directors laundry room has an unused opening in the circuit breaker panel. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will cover opening.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 27 At stairwell 1.1 on the first floor of "A" wing, the double fire doors are missing the center mullion rendering the doors unable to latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Facilities will replace missing center mullion.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 28 An extension cord is used as a replacement for permanent wiring on the second floor in the "A" wing IT closet server rack. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will remove extension cord.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 Fire door assemblies in the following areas lack UL listed fire rating labels or labels from another recognized testing lab. ☐ Fire door second floor south west stairwell ☐ Fire door and frame fourth floor ☐ Fire door stairwell east "C" wing ☐ Fire door and frame stairwell fourth floor D wing ☐ Fire door B wing west stairwell third floor ☐ Fire door and frame stairwell across from room B310 ☐ Fire door and frame third floor C wing by room C310 ☐ Fire door second floor stairwell by room B210 ☐ Fire door second floor "B" wing ☐ Fire door first floor stairwell 1.1 NFPA 1, Fire Code, Chapter 12.7.3.2.2 and 12.7.3.1	Facilities will add UL labels.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 4 Sprinkler heads in the following areas have the orange shipping protectors still installed. ☐ Room 2030 ☐ Room A105 ☐ Second floor ADA bathroom NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will remove all orange shipping protectors.	NA	10/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 6 Unsealed or improperly sealed penetrations are present in the following locations. <ul style="list-style-type: none"> ☐ 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	Facilities will properly seal all penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 7 Room D470 has storage on a top shelf that will block the sprinkler discharge pattern. NFPA 1, Fire Code, Chapter 10.19.3.2	UNT will remove the storage.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 8 On the fourth floor of "B" wing the attic fire door lacks the required closing device. NFPA 1, Fire Code, Chapter 12.4.6.9.1; and 12.4.6.9.2(4)	UNT will add the closing device.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power	NA	FINDING 9 The emergency egress floor plans are missing from the back of all dorm room doors. NFPA 1, Fire Code, Chapter 20.8.2.4.1	Floors plans will be created and placed on all dorm room doors.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Fire doors in the following locations are damaged or missing parts. ☐ B wing third floor stairwell door holes in door ☐ B wing third floor broken wired glass panel ☐ B wing second floor holes in door ☐ Corridor fire door by room 146 missing latch plate and holes in door from old door hinge mount ☐ B wing first floor holes in door and vent cut in door NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1)(4)	Facilities will repair all items.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Water fountains in the following locations are powered by extension cords. ☐ C wing by confiscation room ☐ By room 105 NFPA 1, Fire Code, Chapters 11.1.2 and 11.1.7.6	UNT will remove extension cords.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 Over 25 percent of the corridor is covered with construction paper that does not meet class A or B interior finish requirements. NFPA 1, Fire Code, Chapters 20.8.3.3 and 12.5.6.3.1	Paper removed.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 The panic bar on D wing second stairwell lacks a label indicating the bar is UL listed fire exit hardware. NFPA 1, Fire Code, Chapter 14.5.3.4.2	UNT will add UL listed fire label.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 HVAC vents for the building system are located in the stairwells. (6 stairwells x 3 floors) NFPA 1, Fire Code, Chapter 14.3.1 (10) (d)	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Unsealed or improperly sealed penetrations are present in the following locations. ☐ C wing south stairwell unsealed penetration conduit for smoke detector ☐ Mechanical room A/C 9 hole in wall above door ☐ Custodial closet A wing ☐ Corridor by room 379 hole in ceiling ☐ A wing second floor by stairwell improper material used to seal hole ☐ Mechanical room A/C 7 improper material used to seal penetrations ☐ Mechanical room A/C 3 floor penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 Room 137 music room is missing the smoke detector. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will replace missing smoke detector.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 The fire alarm control panel is displaying two trouble signals. (Missing sounder bases) NFPA 1, Fire Code, Chapter 4.5.8.1	Complete.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Stairwell B at the first floor north fire door has panic hardware installed instead of the required fire exit hardware. NFPA 1, Fire Code, Chapter 14.5.3.4.2	Facilities will install fire exit hardware.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 The First floor corridor fire door by mechanical room A/C 3 has a ventilation grate cut in the bottom half of the door. The door is no longer a UL listed fire door assembly. Additionally the door is missing the door latch cover plate. NFPA 1, Fire Code, Chapters 12.4.6.9.1 and	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 9 In mechanical room A/C 8 and A/C 10C above the doors there are electrical splice boxes missing the cover plates. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace missing cover plates.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 1 The West section second floor by the 200 number rooms and third floor by the 300 number rooms exterior walkways have dead ends in excess of the allowed 20 foot maximum. NFPA 101, Life Safety Code, Chapters 29.2.1, 31.2.1 and 7.5.3.3	We have hired licensed engineer (RL Woods) to perform an assessment of the balconies and design the new stairs needed. The assessment has been performed and we are waiting on the final report. Once we have the report and subsequent drawings we will hire a contractor to install.	NA	1/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 2 The South East side of the building exterior walkway has dead ends on the second and third floor in excess of the allowed 20 foot maximum allowed. NFPA 101, Life Safety Code, Chapters 29.2.1, 31.2.1 and 7.5.3.3	We have hired licensed engineer (RL Woods) to perform an assessment of the balconies and design the new stairs needed. The assessment has been performed and we are waiting on the final report. Once we have the report and subsequent drawings we will hire a contractor to install.	NA	1/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 3 The mechanical chase areas have unsealed penetrations. NFPA 101, Life Safety Code, Chapters 4.6.12.1 and 8.3.5.1	UNT will seal penetrations.	NA	1/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consist of four three-story buildings with a total of 286 rooms classified as a mixed occupancy consisting of existing apartment, dormitory, assembly and business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 4 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 1 The West section, second floor by the 200 number rooms and third floor by the 300 number rooms have exterior walkways with dead ends in excess of the allowable 20 foot maximum. (2014 Violation) NFPA 1, Fire Code, Chapter 14.10.3.4; and NFPA 101, Life Safety Code, Chapters 31.2.5.1, 31.2.4.1, 7.5.3.3 and 7.5.1	UNT will install exterior stairwell.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 10 The survey center east exit door can only open about 18 inches and the top of the door hits a large electrical conduit running outside at the top of the doorway. NFPA 1, Fire Code, Chapters 14.4.1, 4.4.3.1.1, 4.4.3.1.3 and 14.5.1.5	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 11 The egress corridor outside suites 51 "A" and "C" is used as a storage area for computer boxes and computer equipment. NFPA 1, Fire Code, Chapter 14.4.1	UNT will remove boxes and computer equipment.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 12 The survey center office has multiple missing ceiling tiles. NFPA 1, Fire Code, Chapter 13.7.4.3.9	UNT will replace ceiling tiles.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 13 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	UNT will evaluate the best course of action for completion.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 14 Suites 51 "A" and "C" have extension cords used as a replacement for permanent wiring. NFPA 1, Fire Code, Chapter 11.1.7.6	Facilities will remove extension cords and develop a permanent solution.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 16 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.	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 17 The business office suite 51 exits to an exterior walkway that is enclosed by a railing with a dead end distance exceeding 50 feet. The dead end distance measured 94 feet. NFPA 1, Fire Code, Chapter 14.10.3.4 and NFPA 101, Life Safety Code, Chapter 31.2.5.4	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 18 A fluorescent light fixture in the boiler room is missing a cover plate exposing the electrical wiring. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace cover plate.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 2 The South East side of the building exterior walkway has dead ends on the second and third floor in excess of the allowed 20 foot maximum allowed. (2014 Violation) NFPA 1, Fire Code, Chapter 14.10.3.4; and NFPA 101, Life Safety Code, Chapters 31.2.5.1, 31.2.4.1, 7.5.3.3 and 7.5.1	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 3 The mechanical chase areas have unsealed or improperly sealed penetrations. (2014 Violation) NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 5 The emergency light failed to operate when tested in the Computing Center by main entrance. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair emergency light.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 6 In the GIS office the electrical outlet for the water fountain is missing the protective cover plate. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace cover plate.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 7 The building lacks exterior emergency lighting for second floor egress. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapters 31.2.9 and 7.9	UNT will evaluate the best course of action for completion.	NA	9/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 8 The Maroon room has an occupant load in excess of 49 people and the required second exit door leading into the kitchen area is locked. Doors in the path of egress cannot be locked, additionally occupants cannot exit through a kitchen area. Limit the occupant load of this room to 49 people and remove exit sign from above door leading to the kitchen. NFPA 1, Fire Code, Chapters 14.5.2.1, 14.5.2.3, 4.4.3.1.2 and 14.10.2.1	UNT will evaluate the best course of action for completion.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	NA	FINDING 9 The fire alarm control panel is indicating troubles on the system. (Power supply) NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities repaired power supply.	NA	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 There is a dead end corridor on both the second and third floors that exceed the allowable distance of 50 feet. The corridors measured 64 feet long. On the second floor rooms 228 and 229 cannot be normally occupied. The third floor rooms 328 and 329 cannot be normally occupied due to the excessive dead-end corridor distance. NOTE: The violation was noted several inspection cycles ago by the SFMO and the university was instructed at that time they were not to use these rooms. During this inspection it was observed the rooms were again being used. The Housing Staff stated the Risk Management Department told them since the building was retro fitted with a fire sprinkler system the rooms could now be used. THE SFMO instructed the university the rooms cannot be used, the code does not allow dead end corridors to exceed 50 feet in 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,	UNT will post signs the rooms are not to be occupied by order of the State Fire Marshal's Office.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 10 The corridor exit sign in corridor A by room 117 has exposed electrical wiring not in conduit. NFPA 1, Fire Code, Chapter 11.1.3	Facilities will repair exit sign.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 11 The stairwell fire door on the third floor center stairwell has a continuous hinge and does not have UL listing information on hinge NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT attached UL listing on hinge.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 2 The stairwells have HVAC vent ducts penetrating the exit enclosure in approximately 12 locations. NFPA 1, Fire Code, Chapter 14.3.1(10)	UNT whether to remove ducts or install fire smoke dampers.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 3 The second floor C wing has a trash chute missing a section of the fire door. A fire in the trash chute will spread fire and smoke into the second floor corridor. NFPA 1, Fire Code, Chapters 11.6.1.2 and 12.7.4	Door will be repaired.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 4 The copy supply room has a hole in the ceiling around the splice box. NFPA 1, Fire Code, Chapter 12.3.3.1	Hole will be patched.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 5 Paneling is applied to the walls located in the first floor business office corridor that does not meet class A or B interior finish requirements. NFPA 1, Fire Code, Chapter 20.13.3.2.1	UNT will evaluate the best course of action for completion.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 7 The first floor large conference room occupant load exceeds 50 people and lacks the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 13.2.9.1	Facilities will install required emergency lighting.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 8 Computer room 102 has interconnected power strips. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will remove the interconnected power strips.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	NA	FINDING 9 The door separating the business occupancy from the dormitory occupancy lacks a fire rating. Provide documentation this door is not located in a fire wall. NFPA 1, Fire Code 6.1.14.4.1(a)	UNT will provide documentation.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a 200 room five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, sprinkler coverage throughout, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 1 The fire sprinkler system is yellow tagged stating gauges lack 5 year test dated December 2015. NFPA 1, Fire Code, Chapter 13.3.3. 2	Facilities will conduct the 5 year test.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 2 The penthouse attic area lacks sprinkler protection and is used for storage of combustible material. NFPA 1, Fire Code, Chapters 13.3.2.16.2 and 10.19.6	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 3 The penthouse attic area has unsealed penetrations. NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 4 The fire alarm control panel lacks an annual inspection tag. The last inspection was conducted in August 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will conduct an inspection.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 5 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. (2014 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post floor plans on all room doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Fire doors at the following locations have continuous hinges that do not have UL listing information on hinge. ☐ Fourth floor Stairwell 01 ☐ Fourth floor stairwell 03 ☐ Third floor stairwell 03 ☐ Third floor stairwell 01 ☐ Third floor stairwell 02 ☐ Second floor stairwell 02 ☐ Second floor stairwell 01 ☐ Second floor stairwell 03 ☐ First floor stairwell 01 NFPA 1, Fire Code. Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.3.2.3	UNT will add UL listing on hinges.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Fire doors in the following locations lack a UL listed fire rating label or label from another recognized testing lab. ☐ Third floor stairwell 02 ☐ Second floor stairwell 02 ☐ Third floor stairwell 03 ☐ First floor Stairwell 01 right side door NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and	UNT will add UL listed fire rating label to each door.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power	NA	FINDING 3 The first floor stairwell exterior exit door only partially opens due to the bottom of the door contacting the ground. NFPA 1, Fire Code, Chapter 14.4.1, 14.5.1.5 and 14.5.1.1	UNT will evaluate the best course of action for completion.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power	NA	FINDING 4 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. (2014 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post floor plans on all room doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power	NA	FINDING 5 The sprinkler system hydraulic calculation place is missing from the riser. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will add the required plate to the riser.	NA	12/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power.	NA	FINDING 6 Unsealed penetrations are present in the following locations. ☐ Storage room 344 unsealed conduit ☐ Room 257A ☐ Room 244 IT room NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power.	NA	FINDING 7 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 evaluate the best course of action for completion.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Fire doors throughout the building (21 locations) have continuous hinges covering the area where the UL listing label is located. Unable to verify doors are fire rated. NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and	Facilities verified that all fire doors are fire rated.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 10 Room A128 the ceiling light/fan is missing the cover. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace cover.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 11 Room B120 has a large hole in the fire wall. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair hole.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 13 Fire doors in the following locations lack UL listed fire rating door labels or labels from another recognized testing lab. ☐ Main stair C wing ☐ A wing second floor south stairwell ☐ Door by C128 ☐ Door by C123 ☐ Stair door by A134 ☐ E wing second floor corridor NFPA 1, Fire Code, Chapters 12.7.3.2.2 and 12.7.3.1	Facilities will add UL listed fire rated door labels.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	NA	FINDING 14 Unable to verify that some of the lighting fixtures are equipped with emergency lighting capability. NFPA 1, Fire Code, Chapter 14.13.1.1 (1); and NFPA 101, Life Safety Code, Chapters 29.2.9.1 and 7.9	Facilities will determine that capability.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Fire doors at the following locations have continuous hinges that do not have UL listing information on hinge. ☐ First floor corridor by room 128 ☐ First floor by room C123 ☐ Stairwell C third floor ☐ Second floor south stairwell ☐ Stairwell A second floor ☐ Stairwell D second floor ☐ Corridor by room A134 NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT added UL listings to all hinges.	NA	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 The following corridors have fiberglass reinforced plastic (FRP) ceiling panels installed in the drop ceiling grids. Documentation was not available at the time of the inspection that FRP ceiling tiles meet class A or B interior finish requirements for use in corridors. ☐ F wing second floor ☐ B wing first floor ☐ B wing second floor ☐ C wing second floor ☐ C wing first floor ☐ A wing second floor ☐ D wing first floor ☐ D wing second floor ☐ D wing third floor NFPA 1, Fire Code, Chapter 20.8.3.3(2)	Facilities will provide documentation.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Unsealed or improperly sealed penetrations are present in the following locations. ☐ FC-2 Mechanical room non rated yellow spray foam ☐ F220 IT room 4 inch conduit floor and ceiling ☐ E226 IT room 4 inch conduit floor and ceiling ☐ A/C H8 room F321 floor non rated yellow spray foam NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 Stairwell fire rated doors at the following locations have holes in the door. ☐ Stairwell C third floor ☐ Stairwell D second floor NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1)	Facilities will repair doors.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Room F310 has a multi outlet adapter plugged into a power strip. NFPA 1, Fire Code, Chapter 11.1.5.2	Multi outlet adapter was removed from the power strip.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Mechanical room B132 has an extension cord wired into the HVAC controller to supply power to the unit. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace extension cords with a permanent solution.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 The corridor fire door by room C123 has a ventilation grate installed in the bottom of the door. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(10)	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 Room B103 has interconnected power strips. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will remove interconnected power strips.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Maple Hall Maple Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 Stairwell signage is missing in the following locations. Stairwell signs are not required by code in this existing building however since signs have been installed they must be maintained. ☐ D corridor south third floor ☐ F wing west stairwell third floor ☐ A wing west stairwell third floor ☐ A wing south stairwell second floor ☐ F wing west second floor ☐ B wing south stairwell second floor ☐ E wing corridor across from room 201 ☐ D wing south stairwell first floor NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will add signage.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a 206 room three-story structure classified as a mixed occupancy consisting of existing dormitory and business. Features of fire protection include a complete fire alarm system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Corridor smoke or fire doors in the following locations are held in the open position by electric hold open devices but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. ☐ Fire door first floor main stairwell ☐ Corridor smoke door by room 352 ☐ Corridor smoke door by room 333 ☐ Double smoke doors by SRID3	Facilities will add smoke detectors.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 10 A ladder is stored in the first floor main stairwell. NFPA 1, Fire Code, Chapters 14.4.1, 14.6.3.1 and 4.4.3.1.1	Facilities will remove the ladder.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 11 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. (2014 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post the sign on all room doors	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 12 Room A140A is being used as a wood shop. Saw dust was observed on work benches and the floor. This room is located directly off an assembly space and lacks the required two hour rated construction separation between industrial occupancy and assembly occupancy. Discontinue use of this room as a wood shop or other industrial type occupancy. NFPA 1, Fire Code, Chapter 6.1.14.4.1	UNT will discontinue use of this room as a wood shop or other industrial type occupancy	NA	1/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 In "B" wing south, the third floor stairwell door strike plate is missing. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Facilities will replace the missing strike plate.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 Unsealed or improperly sealed penetrations are present in the following locations. ☐ Room A/C 7 Unsealed and unapproved yellow spray foam used ☐ Room A/C 9 unapproved yellow spray foam used ☐ Room A/C 8 unsealed ☐ Room A/C 6 unapproved yellow spray foam used ☐ Room A/C 5 has an 18"x18' hole in wall covered with plywood and unapproved yellow spray foam used NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 Unable to verify building is equipped with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 29.2.9.1	Facilities will provide verification.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 5 Room A130 located under the stairs has a sign posted "No storage by order of State Fire Marshal" and is used for storage of combustible items. NFPA 1, Fire Code, Chapter 14.6.3	Resolved	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 6 The MAC room lacks emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1); and NFPA 101, Life Safety Code, Chapter 29.2.9.1	Facilities will add emergency lighting.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 7 The first floor corridor fire doors have an electronic locking device installed. Documentation was not available to indicate the device is UL listed for use on fire doors. NFPA 1, Fire Code, Chapter 14.5.2.6(6)	Facilities will provide documentation.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 8 The stage lighting wires have a section where the plug has been pulled away from the outer protective sheath exposing the wiring. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace the wiring.	NA	10/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	McConnell Hall McConnell Hall is a three-story structure classified as a mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 9 The stand-pipe system lacks an annual inspection tag. NFPA 1, Fire Code, Chapter 13.2.3.3	Inspection will be performed.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Wainscoting is installed on the bottom section of the corridor and stairwell throughout the building and does not meet class A or B interior finish requirements. NFPA 101, Life Safety Code, Chapters 29.3.3.2 and 10.2.3	Scheduled for completion in FY2016	NA	8/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Wainscoting is installed on the bottom section of the corridor walls and stairwells throughout the building and does not meet class A or B interior finish requirements. (Listed in 2014 inspection) NFPA 1 Fire Code, Chapter 28.8.3.2 (2)	Compliance measures are in progress.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. (Listed in 2014 inspection)	UNT will develop and place exit diagrams in each room.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 The cable TV/Electrical room by 232 has a carpet cleaning machine blocking access to the electrical panels. (Corrected at the time of the inspection) NFPA 1 Fire Code, Chapter 11.1.2	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 The wall mounted emergency lighting unit has come loose from its mount. NFPA 1 Fire Code, Chapter 4.5.8.1	Facilities will repair emergency lighting unit.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The corridor smoke detector by room 111 has tape covering the unit. (Corrected at the time of the inspection) NFPA 1 Fire Code, Chapter 4.5.8.1	NA	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 The sprinkler head in the corridor by room 120 is not properly installed and extends below the ceiling causing the escutcheon not to properly cover the ceiling penetration. NFPA 1 Fire Code, Chapter 4.5.8.1	Facilities will properly re-install sprinkler head.	NA	12/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 The three fire sprinkler systems are yellow tagged stating gauges lack 5 year test and ball drip valve on all three tags. Dated December 2015. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will conduct 5 year test.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 The FDC is visually obstructed by bushes and lacks an identification sign. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4 and 13.1.4.1	Facilities will remove bushes and add identification sign.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Mozart Hall Mozart Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The center stairwell first floor has an unsealed penetration around the security camera wire. NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetration.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Room 512 the JDF room has boxes of trash stored in the room. NFPA 1, Fire Code, Chapter 10.19.1	Trash has been removed.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Unsealed or improperly sealed penetrations are present in the following locations. ☐ Room 355 Security closet ☐ Apartment 280 Hole in ceiling by entrance door ☐ Storage room 212 unsealed floor conduit ☐ Room 141A ceiling ☐ Room 412 unsealed and improperly sealed mineral wool not secured in place by fire caulking. ☐ Lounge C307 hole in wall behind TV NFPA 1, Fire Code, Chapter 12.7.5.1 and 12.3.3.1	Status of identified penetrations is as follows: • Room 355: Fire caulk has been installed at this location. This item can be closed. • Apartment 280: Ceiling opening was created by UNTS's low voltage subcontractor subsequent to completion of work at this area by Vaughn Construction. The trade contractor will be contacted to repair ceiling opening. • Storage Room 212: Fire barrier and fire caulk have been installed at this location. This item can be closed. • Room 141A: Fire caulk has been installed at this location. This item can be closed. • Room 412: Fire caulk has been installed at this location. This item can be closed. • Lounge C307: Wall opening was created by UNTS's low voltage subcontractor subsequent to completion of work at this area by Vaughn Construction. Access panel installation and/or wall repair will be completed by this trade contractor.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 Room 559 has an extension cord used as a substitute for permanent wiring. NFPA 1, Fire Code, Chapter 11.1.7.6	UNT will remove extension cord.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 Room 102 has a sprinkler escutcheon falling off. NFPA 1, Fire Code, Chapter 13.3.3.2	Sprinkler escutcheon at Room 102 has been adjusted.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 14 Multipurpose room 270 A/B has an occupant load in excess of 49 people and lacks the required exit signs. NFPA 1, Fire Code, Chapters 20.1.4.7.1 and 14.14.1.1	Signage installation has been verified to be as specified in the Construction Documents for this project. UNTS to review and coordinate with RSA and advise if changes are required.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 In Stairwell 1 on all four floors the normal building lighting was off. NFPA 1, Fire Code, Chapter 14.12.1.1	Normal building lighting at Stair 1 has been confirmed to be functional and is current set to a default 'constant on' status, as there is an occupancy sensor function issue that is being addressed.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 In Room 463 the custodial closet has an exposed electrical wire run above the ceiling. NFPA 1, Fire Code, Chapter 11.1.2	An above-ceiling electrical box has been installed at Room 463, to capture exposed electrical wiring.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 A ceiling tile is missing in the custodial closet located across from Room 463. NFPA 1, Fire Code, Chapter 13.3.3.3	The missing ceiling tile at Room 463 has been installed.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The fire alarm control panel lacks a current annual inspection tag. The last inspection was conducted in August 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	This error appears to be clerical, as panel testing was conducted in August 2015. The installer has been contacted, to ensure that the appropriate tag is installed.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Stairwell 2 on the first floor is missing the stairwell identification sign. NFPA 1, Fire Code, Chapter 10.12.3.1	Signage was installed at this location at time of project completion and User occupancy. Based upon inspection, it appears that signage was removed by Occupants. Replacement signage will be ordered.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Stairwell 3 on the first floor is being used for storage. NFPA 1, Fire Code, Chapters 14.4 and 10.19.4	Stored material have been removed from Level 1 of Stair 3	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 At stairwell 3 on the first floor, the exit door leading to the exterior of the building lacks an illuminated exit sign. NFPA 1, Fire Code, Chapter 14.14.1.2.1	Illuminated exit sign for this location has been ordered and will be installed upon receipt.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlins Hall Rawlins Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The corridor fire doors by room 266 B do not close and latch properly. NFPA 1, Fire Code, Chapter 12.4.6.9.2(6) and (8)	Corridor fire doors by Room 266B have been verified to close and latch properly.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	NA	NA	8/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 1 The three fire sprinkler risers are yellow tagged since December 2015. Tags state gauges, not replaced or 5 year calibration". NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will conduct calibration.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 2 Unsealed or improperly sealed penetrations are present in the following locations. ☐ Telephone room unsealed ceiling and floor penetrations ☐ Cable TV room unsealed ceiling and floor penetrations ☐ Room ST3H ☐ Room ST-2H ☐ Corridor outside room 222 ☐ Mechanical room by room 225 ☐ Room A/C2A ☐ Main electrical room first floor above main switch	Facilities will properly seal all penetrations.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 3 Emergency lights failed to operate when tested in the following locations. ☐ Stairwell B third floor ☐ Corridor by room 203 NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair emergency lights.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 4 Sprinkler heads are missing escutcheons in the following areas. ☐ Stairwell A third floor ☐ Room ST3H NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will replace escutcheons.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 5 Fire doors in stairwell B on the first floor lack a UL listed fire rating label or label from another recognized testing lab. NFPA 1, Fire Code, Chapter 12.7.3.2.2	Facilities will install UL listed fire rating label.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 6 Mechanical room and custodial closet are located off stairwell normally unoccupied spaces shall not enter into an exit enclosure. The mechanical room requires a one hour rated fire door separation from the exit enclosure NFPA 1, Fire Code, Chapter 14.3.1. (9) (10) and 14.3.1.9	UNT will evaluate the best course of action for completion.	NA	1/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	NA	FINDING 7 Storage located by room 227 has a single cylinder dead bolt lock installed with the key side located inside the room and a thumb latch on the exterior side. Occupants can be locked inside the room. NFPA 1, Fire Code, Chapters 4.4.3.1.2, 14.5.2.1 and 14.5.2.3	Facilities will remove dead bolt lock.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a 373 room three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, full automatic sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	1/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 1 The third floor elevator lobby doors do not latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(8)	Facilities will repair door.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 10 Elevator lobby fire doors are on electronic hold open devices and lack the required smoke detectors within five feet of the doors. NFPA 1, Fire Code, Chapter 14.5.4.1(3)	Facilities will install smoke detectors.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 2 Unsealed or improperly sealed penetrations are present in the following locations. ☐ IT closet 324, 377 277,224, 124 4 inch conduits not sealed ☐ Room 373 ceiling penetrations ☐ Room H205 4 inch conduit not sealed ☐ Six electrical rooms throughout the building 3/4 inch conduit not sealed NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal penetrations.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 3 The elevator lobby doors on all three floors lack the required one hour fire rating. Some doors are labeled as 1/3 hour, some are 3/4 hour rated doors. It appears doors have been changed out over the years. The correct rating for the doors should be one hour. NFPA 1, Fire Code, Chapter 12.7.4.2	UNT will evaluate the best course of action for completion.	NA	11/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 4 The emergency egress floor plans are missing from back of all dorm room doors. (2104 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop floor plans and post them on all room doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 5 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	Facilities will install a UL label on bar.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 6 Stairwells are missing the stairwell identification signs in the following locations. Ⓜ Stairwell 2.5 Ⓜ Center stairwell first floor NFPA 1, Fire Code, Chapter 10.12.3.	Facilities will install identification signs.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 7 In room 149 a new drop ceiling has been installed. The sprinkler heads have not been relocated below the new ceiling. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will relocate the sprinkler heads.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 8 Stairwell 1.3 fire door is missing the strike plate. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(4)	Facilities will replace strike plate.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	NA	FINDING 9 Room H2005 has a cover missing from the splice box. NFPA 1, Fire Code Chapters 11.1.10	Facilities will replace cover.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 1 Fire extinguishers in the following locations lack a current annual inspection tag. Ⓜ Fourth floor custodial closet room 4100 last inspection July 2012 Ⓜ Room 3176 last inspection September 2014 Ⓜ Storage room 2100 last inspection July 2011 Ⓜ Storage room 2162 last inspection January 2008 Ⓜ Storage room 2176 last inspection September 2014 Ⓜ Storage room 1152 last inspection July 2012 Ⓜ Laundry room 1116 last inspection July 2009 Ⓜ Room 3207 last inspection June 2013 Ⓜ Storage room 3280 last inspection September 2014 Ⓜ IT room 2250 no inspection tag on extinguisher, year of manufacture 2004 Ⓜ Communications room 2210 last inspection June 2010 Ⓜ IT room located off mechanical room 2280 no inspection tag on extinguisher, year of manufacture 2004	UNT will inspect fire extinguishers.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Housing security room located off mechanical room 2280 has a power strip plugged into a UPS. NFPA 1, Fire Code, Chapter 11.1.6.2	Facilities will replace power strip with a more permanent solution.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 In room 2250 an extension cord is used to power a UPS unit. NFPA 1, Fire Code, Chapter 11.1.7.6	Facilities will replace cord with a more permanent solution.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 The first floor elevator lobby fire doors lack vertical bottom rods and floor latching points or fire pins. (4 sets) NFPA 1, Fire Code, Chapter 12.4.1; and NFPA 80 Standard for Fire Doors and Other Opening Protectives, Chapter 4.6.3.1	UNT will evaluate the best course of action for completion.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 13 The elevator lobby doors are held in the open position by electric magnetic hold open devices, but lack the required smoke detectors located within five feet of the doors to activate door release in the event of a fire. (14 Locations) NFPA 1, Fire Code, Chapter 14.5.4.2(3)	Smoke detectors will be added.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 14 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 all materials not related to mechanical operations.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 Both sprinkler heads in the fire pump building still have the orange shipping protectors installed on the heads. Note: This building is approximately one and a half years old and these protectors should have been removed at the time the sprinkler system went in service. Several inspections by the sprinkler contractor and university staff failed to notice the protectors still in place.	Facilities will remove orange shipping protectors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 The fire alarm control panel is displaying the following trouble signals. ☒ Battery trouble ☒ Missing detector NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities resolved the trouble signals.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 The corridor travel distances between fire alarm pull stations exceeds the maximum 200 feet travel distance between pull stations. Corridor distance was measured to be 366 feet. NFPA 1, Fire Code, Chapter 13.7.1.4.8.5	UNT will evaluate the best course of action for completion.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The emergency egress floor plan diagram signs are missing from the back of all dormitory room doors. NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop signs and install them on all room doors.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Unsealed or improperly sealed penetrations are present in the following locations. <ul style="list-style-type: none"> ☐ 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	Facilities will properly seal all penetrations.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Stairwell fire doors throughout the building lack the latch plates (17 locations). NFPA 1, Fire Code, Chapters 12.4.6.9.1 and 12.4.6.9.2 (4)	UNT will install latch plates.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 Fire doors at the following locations have continuous hinges that do not have UL listing information on hinge. <ul style="list-style-type: none"> ☐ Fourth floor West elevator lobby doors ☐ Fourth floor East elevator lobby door NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	Facilities will install UL labels on hinges.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 Covers are missing off electric door controller panels and splice boxes for the exhaust controls in mechanical room 2280. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace covers.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 1 Sprinkler protection is missing in the following locations. <ul style="list-style-type: none"> ☐ 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 	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 10 The emergency egress floor plans are missing from the back of all dorm room doors. (2104 violation) NFPA 1, Fire Code, Chapter 20.8.2.4.1	Facilities will develop and post floor plans on all room doors.	NA	9/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 11 Unable to verify that the building is supplied with the required emergency lighting. NFPA 1, Fire Code, Chapter 14.13.1.1(1)	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 12 The food warmer located in the kitchen has the electrical wire pulled out of the splice box, exposing the wiring. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will repair electrical wiring.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 13 In the kitchen walk in cooler number 1 spray foam is on the sprinkler head. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will remove the spray foam.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 14 The kitchen commercial cooking appliances wet chemical suppression system has an enclosed appliance with a discharge nozzle located above it. The cooking appliances have been moved since the original installation and this nozzle no longer covers any open equipment. Upon discharge of the system this nozzle will spray wet chemical on the floor. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will adjust coverage.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 15 The cafeteria emergency exit door threshold is raised approximately four inches above the floor level creating a trip hazard to occupants exiting the building. NFPA 1, Fire Code, Chapter 14.1; and NFPA 101 Life Safety Code, Chapter 7.2.1.3.4	Facilities will level the threshold.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 16 The first floor center stairwell door was found blocked open at the time of the inspection. (Corrected at the time of the inspection) NFPA 1, Fire Code, Chapter 14.5.4.1	(Corrected at the time of the inspection)	NA	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 17 The fire extinguisher located in the graduate student apartment lacks a current annual inspection tag. The last inspection was conducted in 2007. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will inspect the fire extinguisher.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 18 The first floor south center stairwell fire door lacks a UL listed fire rating label or label from another recognized testing lab. NFPA 1, Fire Code, Chapters 12.7.3.2.2 and 12.7.3.2.3	Facilities will add UL listed fire rating label.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 19 The 2 1/2 inch fire department connections are hard to swivel. NFPA 1, Fire Code, Chapter 13.3.3.2 4.5.8.1	Facilities will fix the connections.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 2 The main boiler / mechanical room has approximately six sprinkler heads with the orange shipping protectors still in place. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will remove the orange shipping protectors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 3 The fire alarm control panel lacks a current annual inspection tag. The inspection tag is dated July 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will perform an inspection.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 4 The east, west, north and south stairwells on floors one through three have a chase in the stairwell with cover plates that lack the required 1 hour fire rating. (14 locations) NFPA 1, Fire Code, Chapter 14.3.1(1)	UNT will evaluate the best course of action for completion.	NA	12/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 5 The corridor smoke door by room 612 does not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will fix door.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 6 The corridor smoke detector by room A/C 6A is hanging from the ceiling. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities repaired smoke detector.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 7 Doors in the following locations has continuous hinges installed and lack a UL label or stamp that they are listed for fire door installation. ☐ Second floor north west stairwell ☐ Third floor north east stairwell ☐ Third floor center north stairwell ☐ Second floor north west stairwell ☐ Third floor north west stairwell ☐ Second floor center stairwell ☐ First floor north west stairwell ☐ Third floor north west stairwell ☐ First Floor south center stairwell ☐ First floor south west stairwell NFPA 1, Fire Code, Chapter 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UL label was attached to all hinges.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 8 The stairwells have HVAC vents penetrating the exit enclosure. (18 locations) NFPA 1, Fire Code, Chapter 14.3.1(10)	Facilities will properly seal penetrations.	NA	1/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 9 The first floor east stairwell door has holes in the door from a previous hinge. NFPA 1, Fire Code, Chapter 12.4.6.9.2(1) (d)	Facilities will repair door.	NA	10/1/2016	Closed

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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 2016	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and emergency lighting units in the event of emergencies involving power loss.	NA	FINDING 3 Dormitory rooms are not provided with a required exit path diagram on or immediately adjacent to the exit door from each sleeping room. A diagram shall reflect the actual floor arrangement, room identification and exit path travel from each room. NFPA 101, Life Safety Code, Chapter 29.7.4.1	Install exit path diagram in each room.	NA	12/31/2015	Closed
External	Texas Commission on Environmental Quality	Fiscal Year 2016	Governance and Regulatory Compliance	Notice of Violation	UNT	On May 14, 2016, it was determined that University of North Texas did not submit an emissions inventory (EI) for calendar year 2015 for their main campus and discovery park site as requested. This is a violation of 30 TAX Chapter 101.10(e), which states which states that "the initial emissions inventory or subsequent annual emissions inventory updates shall contain emissions data from the previous calendar year and shall be due on March 31 of each year or as directed by the commission"... "Emissions related data submitted under a special inventory request made under subsection (b)(3) of this section are due as	NA	Based on the submission of the 2015 EI by University of North Texas, the violation has been resolved.	NA	NA	NA	Closed
External	Texas Department of State Health Services	Fiscal Year 2016	Governance and Regulatory Compliance	X-Ray Registration Inspection	UNT	This notice is to acknowledge that the Texas Department of State Health Services (DSHS) conducted an inspection of or visited your business on the date listed above. The information that has been gathered is subject to further department review, and you may receive additional correspondence as a result.	NA	No recommendations/issues.	No recommendations/issues.	NA	NA	NA
External	Texas Department of State Health Services	Fiscal Year 2016	Governance and Regulatory Compliance	X-Ray Registration Inspection	UNT	This notice is to acknowledge that the Texas Department of State Health Services (DSHS) conducted an inspection of or visited your business on the date listed above. The information that has been gathered is subject to further department review, and you may receive additional correspondence as a result.	NA	No recommendations/issues.	No recommendations/issues.	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	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: • 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	Recommendations for Interim Dean of the College of Information: 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.	We agree and are taking the actions below. 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. 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. 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. All travel reimbursement documentation will be reviewed	Dean of the College of Information	3/1/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>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</p>	Dean of the College of Information	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>2. Accounts in the College of Information are not being managed in accordance with UNT Policy 2.1.10 Accountholder Responsibility.</p> <p>The Chair of the Department of Library Information Sciences (LIS) and the Interim Department Chair of Learning Technologies (LT) were not reviewing financial transactions for the DeptIDs for which he/she is the holder of record.</p> <p>Additionally, the Chair of LIS communicated to Internal Audit that he does not have sufficient time or resources to review the transactions on the DeptIDs for which he is responsible; therefore, he relies on the College Budget Officer to perform this task. Because the College Budget Officer position has undergone turnover, it is uncertain as to how long it has been since reconciliations have been performed.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>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</p>	Dean of the College of Information	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	COI Dean's Transitional Audit	UNT	<p>2. Accounts in the College of Information are not being managed in accordance with UNT Policy 2.1.10 Accountholder Responsibility.</p> <p>The Chair of the Department of Library Information Sciences (LIS) and the Interim Department Chair of Learning Technologies (LT) were not reviewing financial transactions for the DeptIDs for which he/she is the holder of record.</p> <p>Additionally, the Chair of LIS communicated to Internal Audit that he does not have sufficient time or resources to review the transactions on the DeptIDs for which he is responsible; therefore, he relies on the College Budget Officer to perform this task. Because the College Budget Officer position has undergone turnover, it is uncertain as to how long it has been since reconciliations have been performed.</p>	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>2b. Ensure all DeptID holders in COI perform the necessary action to comply with the Account Holder Responsibility policy, including but not limited to, reviewing all financial transactions.</p>	<p>The department Chairs review Cognos accounts and all the financial transactions, and approve them in line with UNT policy 2.1.10. In the past, the College Budget Officer helped reconcile all accounts across the college, monitored deficits, and advised department chairs and support staff with regard to financial operations.</p> <p>All Dept ID holders and support staff will be required to attend updated training for UNT policies. We will work with the UNT Budget Office so that all account holders and their support staff can gain a better understanding of their responsibilities.</p> <p>Going forward, department assistants and chairs will perform the necessary actions to comply with Account Holder Responsibility policy and will work closely with the College budget officer to reconcile their accounts.</p>	Dean of the College of Information	3/1/2017	Closed

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

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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>4. The UNTS Business Service Center Purchasing Card Program Guide was not consistently followed in the College of Information.</p> <p>Internal Audit reviewed a sample of three months of transactions for 10 purchasing cardholders in the College of Information. The following instances of noncompliance were noted:</p> <ul style="list-style-type: none"> • Not obtaining annual on-line purchasing card refresher training during fiscal year 2015, • Missing signatures from the card holder, reconciler, and the approver, • Missing verification of State of Texas vendor warrant hold status on required purchases, • Missing vendor receipts, • Sales tax paid without subsequent reimbursement, and • Not obtaining prior approval for the purchase of alcohol for an event and software, as required. 	Moderate	<p>Recommendations for Interim Dean of the College of Information:</p> <p>4b. Ensure that the UNTS Business Service Center Purchasing Card Program Guide is consistently followed in the College of Information.</p>	<p>We agree.</p> <p>Each pCard holder, reconciler, and approver will attend training and will also participate in a refresher training course as made available. An email will be sent to all pCard holders reminding them that they must have the correct signatures from the holder, reconciler, and approver. Alcohol purchasing guidelines will also be included. BSC pCard training will be scheduled the week of Aug 8th. Additional training will be offered during the fall semester.</p> <p>UNTS Business Service Center Purchasing Card Program Guide will be consistently followed and reviewed regularly to ensure compliance.</p>	Dean of the College of Information	3/1/2017	Closed
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 	<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</p>	Low	<p>Recommendations for Interim Dean of the College of Information:</p> <p>7a. Coordinate with the Office of General Counsel and Advancement to examine the language and donor's intent to determine the appropriate program of study to which the scholarships can be offered.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs.</p> <p>The dean of the College of Information will ask UNT General Counsel to examine the language and donor intent.</p> <p>The College of Information's Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p>	Dean of the College of Information	1/17/2017 Rev. 07/01/2017	Closed

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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</p>	Low	<p>Recommendations for Interim Dean of the College of Information:</p> <p>7b. Coordinate with UNT Division of Advancement to obtain a clear understanding of how many scholarships exist within the College of Information and determine which are eligible to be awarded.</p>	<p>Advancement did not provide information about the Mary Voegle endowed scholarship to the department and the scholarship was not listed in Cognos with the rest of the other scholarships. When the LIS budget was separated from the college budget in 2012, all endowed scholarships were awarded according to the MOUs.</p> <p>The dean of the College of Information will ask UNT General Counsel to examine the language and donor intent.</p> <p>The College of Information's Advancement representative will work closely with the College scholarship representative to ascertain the existing number of scholarships that are eligible to be awarded.</p>	Dean of the College of Information	1/17/2017 Rev. 07/01/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>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</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1a. Review and assess alternative budget models and adopt a model that aligns with institutional goals and initiatives.</p>	<p>a. The Health Science Center (HSC) will establish a budget advisory committee to review and assess various ways to budget and to provide recommendations regarding the underlining principles and procedures to the President's cabinet. The President's cabinet will discuss and determine the best course of action in budgeting for HSC, with the implementation of the revised budget model occurring in FY 2018 for the FY 2019 budget process. This budgeting model will be completed by September 1, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	9/1/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1b. Develop institutional principles, policies and procedures.</p>	<p>b. Based on the determination by the President's cabinet, budget principles, policy and procedures will be developed which support the accomplishment of the HSC objectives and initiatives consistent with the strategic plan. The proposed budget policy will be submitted to the Office of General Counsel (OGC) by September 5, 2017.</p>	Gregory R. Anderson, Interim Chief Financial Officer	9/5/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Currently, UNTHSC utilizes an incremental budget model, in which budget allocations are based upon the funding levels of the previous years. However, the model is not sufficient to ensure allocated amounts are adequate based on business needs and to achieve institutional goals and initiatives.</p> <p>In addition, although UNTHSC has operating budget guidelines, there are no formalized principles. Budget principles help create overarching values for prioritization and resource allocation which management adhere to as the budget is developed. Furthermore, policies and procedures are not sufficiently developed to clarify and</p>	High	<p>Recommendation to the UNTHSC President and Interim Chief Financial Officer:</p> <p>1c. Communicate newly developed principles, policies and procedures to pertinent employees. Management should consider posting these documents on the UNTHSC website.</p>	<p>c. Once developed, the proposed budget policy will be submitted to OGC for approval by September 5, 2017 and once OGC approves, then the budget policy and procedures will be communicated to the employees and posted on the UNTHSC website.</p>	Gregory R. Anderson, Interim Chief Financial Officer	9/5/2017	Open

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

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	<p>Safeguarding measures of student fee payments received are not adequate during the receipting and reconciliation processes at the Office of Admissions. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • Current/prospective students are not provided with receipts when making payments for various fees unless requested by the student. Specifically, when the assigned individual receives money in person related to application, change of concentration, assurance and deferment fees, a manual unofficial receipt from a generic receipt logbook was provided to students upon request. • Reconciliation processes are not in place to verify that assurance and deferment fees received from prospective students were properly credited towards the correct student account. • Reconciliation processes are not in place to verify that application and change of concentration fees were properly recorded in the correct departmental account. 	Moderate	<p>Recommendation for Associate Dean of School of Public Health:</p> <p>3b. Develop procedures to help ensure that all fees collected are reconciled on a regular basis to the University accounting system and to the respective student account.</p>	<p>The School of Public Health, Office of Admissions will establish a procedure to:</p> <ul style="list-style-type: none"> a. Redirect on-site cash received to the Cashier's Office, located in the Student Services Center of the UNTHSC campus, in the same building as the Office of Admission. Student will make payment to the Cashier, obtain a receipt, and then provide proof of payment to the Office of Admission b. Redirect deposits by mail directly to the Cashiering Office, establishing a procedure for the Office of Admission to be notified when a deposit has been received c. Maintain a log of fees collected as notified by the Cashier's office d. Work with Financial Services as a process improvement to automate items 1 and 2 above within their stipulated implementation date of August 1, 2017 	Matt Nolan Adrignola, Associate Dean of Administration & Student Services	3/1/2017 Rev. 08/01/2017	Closed
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	Closed
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	Closed

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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>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	Closed
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	Closed
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	Closed

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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	Closed
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	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	School of Public Health (Unit Specific Management Control Review)	UNTHSC	During our review of School of Public Health Payroll, we noted that UNT System Administration Policies 03.503 Longevity Pay is outdated and it is not in compliance with the statute. Specifically, as of September 1, 2005 the longevity pay was raised from \$20 per month for every three years of state service to \$20 per month for every two years of state service which is not reflected in the policy. Additionally, it is important to note that the longevity pay is appropriately calculated in the University Payroll System in accordance with the statute.	Low	Recommendation for the Human Resources Director: 5a. Modify University Administrative Policy regarding Longevity Pay to help ensure compliance with the state laws.	Management worked with the UNT System Policy Manager, to update/modify the University Administrative Policy. The updated policy was submitted to the Office of General Counsel for review during the audit.	Gary Finney, Human Resources Director	7/19/2016	Closed
Internal	UNTHSC Institutional Review Board	Fiscal Year 2016	Governance and Regulatory Compliance	PKU Human Microbiome Protocol	UNTHSC	None	NA	NA	NA	NA	NA	NA

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

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

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

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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>Recommendation for IT Managers:</p> <p>IT Managers should remove laptops from ePO that are surplussed and no longer in use.</p>	<p>IA communicated with CAS Assistant Dean for Information Technology Services, Tim Christian, regarding removing laptops from ePO that are surplussed and no longer in use. He agreed to follow the policy set by ITSS.</p>	Tim Christian, Assistant Dean for Information Technology Services	3/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Information Technology	IT Privacy and Data Protection	UNT System	<p>Use of the ePO tool is not required to install and monitor anti-virus and encryption software on laptops.</p> <p>While most IT Managers use the ePO agent to install anti-virus and encryption software on laptops, there is no requirement to do so. Installation of anti-virus and encryption software is required but use of a specific tool is not required.</p>	Moderate	<p>Recommendation for ITSS:</p> <p>ITSS should develop and submit a standard requiring all IT Managers use one tool to install anti-virus and encryption software on laptops during the build process.</p>	<p>Anti-virus software is deployed to devices in a variety of methods, including direct acquisition from anti-virus software vendors (e.g., McAfee), and also via ePolicy Orchestrator (ePO), a software management tool used by IT Shared Services to centrally manage the distribution of anti-virus and encryption software to institutionally owned devices, including laptops. Detection of the installation of anti-virus and encryption software can be done manually (by physically locating and assessing installation), or it can be done through the use of management tools such as ePO.</p> <p>ITSS will establish a standard requiring the use of the ITSS sanctioned anti-virus and encryption software distribution tool. In cases where a device is not capable of running a specific anti-virus or encryption software solution, a security exception will be considered if mitigating controls can be established to protect the respective device.</p>	Charlotte Russell, Chief Information Security Officer	3/31/2017	Closed

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

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Toulouse Graduate School	UNT	<p>1. No Application Fee Policy: Internal Audit was unable to locate any University policies that directly address the use of the Graduate School Application fee.</p> <p>The Interim Dean of the Toulouse Graduate School, stated that application fees can be used for any purpose due to their flexibility, and the Interim Dean was not aware of any policies governing the use of application fees.</p> <p>The Interim Dean of the Toulouse Graduate School, stated that application fees can be used for any purpose due to their flexibility, and the Interim Dean was not aware of any policies governing the use of application fees.</p> <ul style="list-style-type: none"> • Texas Education Code, Sec. 54.504 considers the application fee as an incidental fee. This section establishes the rate of an incidental fee, but it does not address its use. • Texas Education Code, Sec. 55.16 generally addresses fees by stating that a fee should be sufficient to support the related activity. • UNT System Board of Regents Rule 07.403, 2(d) delegates responsibility for fixing the rate of incidental fee rates to the President of each Institution. Each President may make rules regarding the distribution of funds according to Texas Education Code, Sec. 54.504. However, Sec. 54.504 does not cover the distribution of funds. • UNT Policy 10.037 considers Academic Fees as an incidental fee. According to Policy 10.037, Academic Fees--and likewise incidental fees--should accurately reflect the actual costs to the University for providing the related 	Moderate	<p>Recommendation for Vice Provost of the Toulouse Graduate School:</p> <p>1a. Consult with the Vice President for Finance and Administration to develop a policy specifying appropriate uses for the Graduate School application fee.</p>	Historically the majority of the application fee was used to fund staff positions in the Toulouse Graduate School. Within the last six months the funding of these staff lines were adjusted so that the staff directly responsible for application processing are paid from the application fee account. This is consistent with the intended use of the funds. In addition the residual funds will be directed toward processing of applications and the associated expenses. However, the application fee and the staff on that fee have moved under admissions and, consistent with the change in the budget line, we communicated with the VP of Enrollment Management and the Executive Director of Admissions about the need to continue the staff funding from the application fee account. In addition, with the transfer of the application fee account to the Executive Director of Admissions, the Graduate School communicated the expected outcomes and recommendations of this audit to the Executive Director so that policy development can be fulfilled by the new account holder.	Rebecca Lothringer, Executive Director of Admissions	1/15/2017 Rev. 08/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>1. Intercollegiate Athletics Fee - The UNT Intercollegiate Athletics Fee was increased \$1 per semester credit hour (SCH) from \$10/SCH to \$11/SCH starting in the Spring of 2016 without a student general election conducted to approve the increase, which was not in compliance with the Texas Education Code Chapter 54 Section 54.5191. Therefore, this action resulted in the overbilling of students.</p>	High	<p>Recommendations for the Vice President of Finance and Administration and the Vice President of Athletics:</p> <p>a. Coordinate with the Office of General Counsel to take appropriate actions to rectify the overbilling of students.</p>	The fees for athletics were returned to \$10 per hour with limits, the last appropriately authorized amount, prior to registration and fee payment for spring, 2017. The university will refund the extra \$1 per hour collected for the two previous terms. All refunds will be made by November 30, 2016.	Bob Brown, Vice President for Finance and Administration	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>1. Intercollegiate Athletics Fee - The UNT Intercollegiate Athletics Fee was increased \$1 per semester credit hour (SCH) from \$10/SCH to \$11/SCH starting in the Spring of 2016 without a student general election conducted to approve the increase, which was not in compliance with the Texas Education Code Chapter 54 Section 54.5191. Therefore, this action resulted in the overbilling of students.</p>	High	<p>Recommendations for the Vice President of Finance and Administration and the Vice President of Athletics:</p> <p>b. Identify and refund students who were charged excess fees as a result of non-compliance with the Texas Education Code 54.5191 from Spring 2016 to current.</p>	The fees for athletics were returned to \$10 per hour with limits, the last appropriately authorized amount, prior to registration and fee payment for spring, 2017. The university will refund the extra \$1 per hour collected for the two previous terms. All refunds will be made by November 30, 2016.	Bob Brown, Vice President for Finance and Administration	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>2. Inadequate Safeguarding Measures - Safeguarding measures of blank check stock are not adequate. Specifically, the following were noted:</p> <ul style="list-style-type: none"> • There is a small unsecured movable safe on a shelf in the custodian's office which includes blank pre-numbered checks and the safe combination of another safe located in Athletics administration. • There is no documentation listing the check numbers of the blank checks kept in safe. • The Athletic Department Working Fund maximum balance is \$20,000, though the estimated potential amount needed during peak months is \$5,000. 	High	<p>Recommendation for Assistant Athletic Director, Business Operations:</p> <p>a. Obtain a larger unmovable safe.</p>	The Department of Athletics agrees with the recommendations. A large unmovable safe has been purchased.	Pilar Bradfield, Assistant Athletic Director	2/1/2017	Closed

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

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

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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>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	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>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	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 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
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	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>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	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>a. Establish controls to ensure that all sports camp workers complete the required sexual abuse and child molestation awareness training prior to the start of the sports camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> Athletics will work with sports camp directors to ensure that all sports camp employees complete the required sexual abuse and child molestation awareness training prior to the start of each camp. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>b. Establish controls to ensure that Risk Management personnel receive the necessary information to ensure that background checks are conducted for all sports camp workers prior to the start of the sport camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> Athletics will work with Risk management to establish controls and ensure that they receive the necessary information that background checks are conducted for all camp employees. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>5. Sexual Abuse and Child Molestation Awareness Training and Background Checks - Testing for the completion of sexual abuse and child molestation awareness training and background checks for sports camp workers (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 13 out of 158 (8%) did not complete the mandatory sexual abuse and child molestation awareness training • 8 out of 158 (5%) did not have evidence that a background check was conducted. 	Moderate	<p>Recommendations for Senior Associate Athletic Director, Business Operations:</p> <p>c. Communicate consistently with Risk Management personnel to ensure that they have received and/or have on file for each sports camp worker evidence of completion of sexual abuse and child molestation awareness training and background checks.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will communicate with Risk Management personnel to ensure they have received or have on file evidence of the completion of sexual abuse and child molestation awareness training and background checks. 	Mike Ashbaugh, Sr. Associate Athletic Director, Pilar Bradfield, Assistant Athletic Director, and Cindy Ford, Business Office Coordinator	4/15/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>6. Insurance Coverage for Sports Camps - Testing of insurance coverage for sports camp participants (i.e. Men's Basketball, Women's Basketball, Football, Tennis, Swimming and Soccer) in FY 2016 identified the following:</p> <ul style="list-style-type: none"> • 3 out of 136 (2%) volleyball sports camp participants did not have insurance coverage. • Volleyball did not provide notification and documentation to Risk Management for the camp participants who had insurance coverage. • Swimming was sponsored through NIKE which requires insurance; however, the proof of insurance certificate was not provided to Risk Management by the camp director. 	Moderate	<p>Recommendation for Senior Associate Athletic Director, Business Operations:</p> <p>a. Re-educate the Sports Camp Directors on the importance of providing notification and documentation to UNT Risk Management that camp insurance for participants has been obtained (i.e. through UNT or outside means) for their sports camp prior to the start of the camp.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <ul style="list-style-type: none"> • Athletics will work with each sports camp director to ensure that they provide UNT Risk Management with documentation that insurance has been purchased for their camps prior to the start of each camp. 	Mike Ashbaugh, Sr. Associate Athletic Director	4/15/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships:</p> <ul style="list-style-type: none"> • Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. • Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. • Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	<p>Recommendations for Associate Athletic Director, Compliance:</p> <p>a. Ensure that the endowed scholarship criteria used by the committee agrees with eligibility requirements established by the donor.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <p>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.</p> <ul style="list-style-type: none"> • The Athletic Compliance Office is currently working with the University and Athletic Development Offices to obtain Memorandums of Understanding (MOUs) for all endowed athletic scholarships. The complete gathering of this information will help to ensure the criteria used by the committee matches the requirements and intentions of the donor. 	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	<p>7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships:</p> <ul style="list-style-type: none"> • Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. • Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. • Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	<p>Recommendations for Associate Athletic Director, Compliance:</p> <p>b. Develop written procedures to document processes and procedures pertaining to the awarding of Athletic endowed scholarships for eligible student athletes.</p>	<p>The Department of Athletics agrees with the recommendations.</p> <p>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.</p> <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

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Business Process Operations - Athletic Department	UNT	7. Endowed Scholarships - The following observations were noted with regards to Endowed Athletic Scholarships: <ul style="list-style-type: none"> Criteria used by the committee did not always fully agree with the donor Memorandum of Understanding and/or other support documentation eligibility requirements. Documented procedures are not in place with regards to the awarding process for endowed Athletic scholarships. Minutes are not being prepared to document the actions taken at Athletics endowed awarding committee meetings. 	Moderate	Recommendations for Associate Athletic Director, Compliance: c. Written minutes should be maintained on Athletics endowed scholarship committee meetings.	The Department of Athletics agrees with the recommendations. Athletics awards all of the athletic endowed scholarships during the month of August every year. This process involves selecting recipients for the upcoming academic year as well as completing the paperwork for the award winners of the previous year. • Athletics will maintain official records for actions taken at committee meetings for endowed scholarships.	Scott Hobbs, Sr. Associate Athletics Director – Compliance.	2/1/2017 Rev. 08/31/2017	Open
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Report Completion Date – The annual report was prepared 47 days late.	Moderate	Prepare and present financial results as the annual report. Disseminate the annual report to all required parties within the time frame set forth in Article IX, section B(c) of the SIG By-Laws.	The department chair has visited with the incoming President of the SIG regarding the recommendations. He has agreed to share the recommendations with the SIG Board of Directors and will plan to meet the 45 day deadline for the 2017 annual financial report and reports thereafter.	SIG Board of Directors	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Annual Report Completion Date – The annual report was prepared 47 days late.	Moderate	Present additional information, such as remarks from the Board of Directors, symposiums attended, and other activities, in a separate report at a later date.	The department chair has visited with the incoming President of the SIG regarding the recommendations. He has agreed to share the recommendations with the SIG Board of Directors and will plan to meet the 45 day deadline for the 2017 annual financial report and reports thereafter.	SIG Board of Directors	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Student-Managed Investment Fund Review	UNT	Voting Summary Form – The number of shares voted to be purchased was missing from two Voting Summary forms.	Low	Ensure that Senior Analysts and Portfolio Managers include the number of shares on the Voting Summary form. Designate one specific location on the Voting Summary form to include the number of shares.	In Spring 2016, the SIG Board of Directors adopted and began using a Recommendation Form and an Equity Order Form. Each form provides a specific location for the number of shares to be sold or purchased.	SIG Board of Directors	NA	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1a. Management to work with Office of General Counsel and Human Resources to establish a mechanism, which includes a conflict of interest disclosure form, through which investment officers self-report annually any real or perceived conflicts of interest.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 8/31/2016 Revised 06/01/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1b. Implement a required annual conflict of interest training program to provide investment officers a clear understanding of their roles and responsibilities related to conflict of interest and steps they would need to take in the event of a concern.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 08/31/2016 Revised 06/01/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	1. Conflict of Interest – UNT System / UNT / UNT Dallas – The current Conflict of Interest policy relies on self-disclosure. Currently, there is no formal process in place to determine and document if an investment officer or any authorized designee has a personal business relationship with a business organization offering to engage in an investment transaction with UNT System, UNT, and UNT Dallas.	High	1c. For staff positions which do not require an annual conflict of interest disclosure form to be completed, consider requiring periodic acknowledgement of the institution's ethics policy from staff, which has conflict of interest embedded within the policy.	Management will work with Office of General Counsel, Human Resources, and the campuses to establish and implement a documented formal procedure that will both provide training on and address conflicts of interest.	James Mauldin, Associate Vice Chancellor for Treasury	Original 08/31/2016 Revised 03/31/2017	Closed

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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	2. Bank Addendum Certificate of Authority – UNT - Testing identified two terminated employees with access to the UNT repurchase sweep account ending in account number 2633.	Moderate	2a. To work with the Institutional CFO's in establishing an annual review process to ensure that bank account access for employees are appropriate based on their roles and responsibilities.	Online log on credentials were disabled prior to the employees' termination. Management will review existing processes for improvement opportunities regarding immediate removal of all access for terminated employees. In addition, Treasury will work with the CFO's regarding establishing a review that occurs no less than annually.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	2. Bank Addendum Certificate of Authority – UNT - Testing identified two terminated employees with access to the UNT repurchase sweep account ending in account number 2633.	Moderate	2b. For employees that have an employment status change which includes termination, establish a process to remove access immediately.	Online log on credentials were disabled prior to the employees' termination. Management will review existing processes for improvement opportunities regarding immediate removal of all access for terminated employees. In addition, Treasury will work with the CFO's regarding establishing a review that occurs no less than annually.	James Mauldin, Associate Vice Chancellor for Treasury	6/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	3. Conflict of Interest – UNTHSC – One out of three employees (33%) who have access to investment related bank accounts did not complete a conflict of interest disclosure form.	Moderate	3a. Require all applicable staff to be re-educated on the policy.	Management will work with the UNTHSC Compliance Office to establish and implement procedures to notify employees when they have not completed the Conflict Disclosure Form within the required time frame established by UNTHSC and a process for educating staff about possibly detecting conflicts of interest.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	3. Conflict of Interest – UNTHSC – One out of three employees (33%) who have access to investment related bank accounts did not complete a conflict of interest disclosure form.	Moderate	3b. Work with the Office of Compliance to implement a monitoring process to ensure applicable staff completes an annual conflict of interest disclosure form.	Management will work with the UNTHSC Compliance Office to establish and implement procedures to notify employees when they have not completed the Conflict Disclosure Form within the required time frame established by UNTHSC and a process for educating staff about possibly detecting conflicts of interest.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	4. Inaccuracy of Quarterly Investment Report – UNT System / UNT / UNT Dallas - Testing of the accuracy of quarterly investment reports identified footing errors, instances of ending and beginning balances for successive quarters not matching, incorrect balances for the third quarter and incorrect investment report posted on the investment disclosure website.	Moderate	4a. Review fiscal year 2015 quarterly investment reports for which ending and beginning balances for successive quarters did not match and make necessary corrections. Then, update the investment disclosure websites with the corrected reports.	Fiscal Year 2015 was a transitional year organizationally for a consolidated treasury operation. Treasury has already begun working with the campuses to ensure that the investment reports on the websites are accurate and will continue to do so. A quality review process of these reports has been implemented and will going forward include ensuring that the posting to each campus' website is accurate and complete.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
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

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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	5. Reconciliation to the General Ledger – UNTHSC - The cash account balance per the investment report was different from the balances recorded in the general ledger as of August 31, 2015. The balance per the quarterly investment report was understated by \$4,430,968.57.	Moderate	5b. Establish a review process to ensure balances in the quarterly investment reports reconcile to the balances in the general ledger.	FY15 was the first time UNTHSC's financial close was managed by UNT System Controller staff, none of whom had experience in prior UNTHSC year-end financial close activities. The year-end financial close process continues to improve since the Financial Transformation Project began. For the preparation of the FY16 Annual Financial Reports, the System Controller is preparing a timeline/schedule that will require each institution to complete their annual financial reports by early October. This would result in general ledger balances being fully reconciled and finalized by the end of September. In addition, the new review process for investment reports will include Accounting staff to ensure reported cash balances reconcile to the GL.	Paula Welch, Associate Controller James Mauldin, Associate Vice Chancellor for Treasury	10/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	6. Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.	Low	6a. For subsequent periods, UNTHSC should identify and exclude all investments belonging to UNTHSC Foundation from the financial statements and investment reports. If investments are not excluded, properly define on the investment reports which amount is for UNTHSC and for Foundation.	Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation's investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	6. Presentation of the UNTHSC and UNTHSC Foundation Investments on the Quarterly Investment Reports – UNTHSC - The August 31, 2015 UNTHSC Quarterly Investment Report did not reflect the separation of investments belonging to UNTHSC and to UNTHSC Foundation.	Low	6b. Establish a review process to ensure investments in the quarterly investment reports are appropriate.	Management believes the Board of Regents should have quarterly visibility to all investments that exist for the benefit of the System and therefore each Foundation's investments should not be excluded. However, we do agree that they should be clearly labeled as such. Treasury is in the process of reformatting all investment reports and will ensure that endowments, both campus and foundation, are included yet clearly labeled. A quality review of these reports is important and has been implemented to ensure that reports to the Board are accurate.	James Mauldin, Associate Vice Chancellor for Treasury	3/31/2016	Closed
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

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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	9. Format and Content of Quarterly Investment Reports – UNT System / UNT / UNT Dallas / UNTHSC - The format and content of quarterly investment reports is not consistent across all institutions.	Low	9b. Management should determine an appropriate reporting format and once established utilize the new format for all institutions.	Management has been aware of this need and has already targeted the implementation of a new format that will be standard across the System for the first report on Fiscal Year 2016.	James Mauldin, Associate Vice Chancellor for Treasury	2/25/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	10. Annual Review and Adoption of Financial Institutions – UNT System - There was no indication that Board of Regents reviewed and adopted a list of financial institutions for fiscal year 2015.	Low	10a. Establish procedures to ensure compliance with System Regulation 08.2000, Section 2005, paragraph 10 or review the System Regulation to see if requirement is applicable as is and make changes as necessary.	Management will review the regulation to determine appropriateness of the wording as this is not a requirement in the Public Funds Investment Act. Based upon the findings, either the regulation will be revised or procedures will be modified to ensure compliance.	James Mauldin, Associate Vice Chancellor for Treasury	11/30/2016 Revised Date: 06/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	FY 2015 Investment Compliance Audit	UNT System, UNT, UNT Dallas, UNTHSC	11. Outdated Investment Policy – UNTHSC - An outdated institutional investment policy is posted on the webpage under Chapter 10: Fiscal Management. However, this policy was superseded by System Regulation 08.2000 which was approved in August 2012.	Low	11a. Management should update the website to reflect System Regulation 08.2000 and revisions made should be communicated to appropriate personnel.	Management is in agreement with the recommendation. Management will implement additional steps to the current set of procedures to insure timely updating of investment policies and maintaining all required investment disclosures on the institution's website.	Debra Willett, UNTHSC Director Financial Planning & Policy Analysis	5/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with University Policy - The Joint Admission Medical Program (JAMP) agreement was not properly set up in accordance to University Policy Chapter 13.123.	High	Work with appropriate management from the Office of Grants and Contract Management and the Office of Finance to set up JAMP as a sponsored project.	We are in agreement with moving JAMP funds to the Office of Grants and Contract Management. It should be noted that this has never been recommended in any previous audit.	Mike Kennedy, Director of Admissions	12/31/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	UNT Information Security Users Guidelines- Credit Card Sensitive Information	High	Provide training to appropriate personnel in regards to the UNT Information Security Users Guide and PCI Best Practices.	The Purchasing Card Program Supervisor sends a copy of the Citibank statement that includes the full account number each month as supporting documentation for the payment. The account number will be redacted going forward.	Kimberly Bien, Purchasing Card Program Supervisor	10/28/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	UNT Information Security Users Guidelines- Credit Card Sensitive Information	High	Mask credit card information that is transmitted by email, uploaded and retained in the document management system, ApplicationXtender, to help ensure sensitive information is not compromised.	The Purchasing Card Program Supervisor sends a copy of the Citibank statement that includes the full account number each month as supporting documentation for the payment. The account number will be redacted going forward.	Kimberly Bien, Purchasing Card Program Supervisor	10/28/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Lack of Reconciliation Process - Internal Audit was unable to validate the reconciliation process between the FY 2015 Expenditure Reports to the University's Accounting System.	High	Develop procedures to help ensure that the expenditures recorded in the Expenditure Report are reconciled on a regular basis to the Accounting System.	We are in agreement with this assessment. We will set aside periodic reconciliation periods to review JAMP expenditures to the Accounting System.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with JAMP Medical School Expenditure Guidelines - Time and Effort Reporting - During our review of payroll activities related to JAMP, we noted that the JAMP Coordinator salary devoted to the project was based on an estimated average of annual time and effort.	High	Develop procedures to track and verify the accuracy of actual time and effort devoted to the program to help ensure compliance with the JAMP Medical School Expenditure Guidelines.	We are in agreement with the assessment that there is no official tracking of the JAMP Coordinator time and effort (only estimates). With the move of financials to the Office of Grants and Contract Management this will be a part of a new process for reporting time. It should be noted that this has never been recommended in any previous audit.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
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

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.	High	Request repayment from the JAMP Coordinator for the amount over-reimbursed of \$225.00.	The \$225 reimbursement has been repaid as of 10/22/2015. We will request a refund from the Department of Medical Education for \$1,500.00. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Inadequate Monitoring of Expenditures - Two expenditures were incorrectly processed resulting in an overpayment of \$1,725.00 from the JAMP fund.	High	Develop expenditure verification procedures to help ensure that all transactions entered into the Accounting System are verified for accuracy and any errors are timely reported to the appropriate office for correction.	The \$225 reimbursement has been repaid as of 10/22/2015. We will request a refund from the Department of Medical Education for \$1,500.00. We will set aside periodic reconciliation periods (approximately every 90 days) to review JAMP expenditures.	Mike Kennedy, Director of Admissions	12/1/2015	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Student Wages - For 27 timecards reviewed, hours reported on three timecards could not be reconciled to the student employees' payroll disbursement, for a net effect of \$55.00.	Moderate	Require all personnel entering and approving time and labor to be re-educated on the Hourly Payroll Guidelines.	We are in agreement with this assessment. All staff who are in responsible for time cards will undergo training through BSC on time and labor entry. Internal office procedures will be put in the place to allow more time for reconciliation of hourly payroll.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Student Wages - For 27 timecards reviewed, hours reported on three timecards could not be reconciled to the student employees' payroll disbursement, for a net effect of \$55.00.	Moderate	Implement a process to reconcile time entered in EIS Time and Labor to the employee's timecard prior to the payroll cut-off date.	We are in agreement with this assessment. All staff who are in responsible for time cards will undergo training through BSC on time and labor entry. Internal office procedures will be put in the place to allow more time for reconciliation of hourly payroll.	Mike Kennedy, Director of Admissions	3/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Purchasing Card (P-Card) Guidelines – Pcard Guidelines were not always followed.	Moderate	Require all current P-Card holders, reconcilers and approvers to be retrained on P-Card policies and procedures.	We are in agreement with this assessment. Prior to this audit, changes were made in the P-Card usage process within the department. We have moved all P-Card spending to one account holder and assigned a new reconciler to all P-Card transactions. We expect this change will be decrease risk for noncompliance.	Mike Kennedy, Director of Admissions	1/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	Joint Admission Medical Program Audit	UNTHSC	Non-Compliance with Purchasing Card (P-Card) Guidelines – Pcard Guidelines were not always followed.	Moderate	Follow University Business Service P-Card Guidelines.	We are in agreement with this assessment. Prior to this audit, changes were made in the P-Card usage process within the department. We have moved all P-Card spending to one account holder and assigned a new reconciler to all P-Card transactions. We expect this change will be decrease risk for noncompliance.	Mike Kennedy, Director of Admissions	1/1/2016	Closed
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 that the Summer Internship Program and the Administration Distribution funds are deposited into and expended from the same Department ID.	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

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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
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 cashiering 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 cashiering 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

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	2. UNT System: Cash Control – Deposits - Testing identified that funds are not deposited timely within seven days after received by the institution in accordance with the Texas Education Code § 51.003. Additionally, it was noted that funds are received from students by multiple departments within the College of Law but not delivered to the Assistant Registrar for deposit on a timely basis.	High	2a. Develop procedures to help ensure that funds are timely deposited in the institution's bank account in accordance with the statute.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting, UNT System Controller's Office, and UNT System Treasury are working with certain 3rd party vendors from the banking and security industries to evaluate the cost / benefit of available improved cash collection technology & armored car service collection procedures.	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	3. UNT System: Inadequate Safeguarding Measures for Payments Received - Safeguarding measures of payments received are not adequate during the collection, receipting, depositing and reconciliation processes.	High	3a. Re-educate personnel on cash handling procedures.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
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

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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	3d. Work with the College of Law to identify all areas collecting cash/checks and establish departmental cash controls to help ensure proper segregation of duties are in place in all areas.	We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less).	Jeane Olson, Director of Financial Service-Student Finance	11/30/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	4. UNT System: Cash Controls - Safe Combination - Combinations to the safe are not modified when there is a change in staff or change in custody of the safe.	High	4a. Develop departmental procedures to help ensure that safe combination is changed periodically and always when there is employee turnover or reassignment in accordance with UNT Cash Control and Departmental Deposit Handbook.	UNT System Student Accounting and UNT System Controller's Office: We concur with your findings and agree to evaluate and implement the recommendations as presented for reducing risk and improving internal controls at the UNT Dallas main campus and UNT Dallas College of Law campus in downtown Dallas. The safe combination at UNT Dallas main campus has been recently changed and new procedures will be put in place to change the safe combination immediately upon key employee turnover or reassignment and on a semi-annual basis at minimum. Due to mechanical limitations preventing the staff's ability to change the existing safe combination located at the UNT Dallas College of Law campus, a new safe will be purchased immediately and procedures (consistent with UNT Dallas main campus) will be put in place to change the safe combination immediately upon key employee turnover or reassignment and on a semi-annual basis at a minimum. Key team members from UNT System Student Accounting and UNT System Controller's Office will work with the appropriate staff (as necessary) at both campus locations to ensure these recommendations, and others as deemed appropriate, are implemented by no later than November 30, 2016 (six months or less). UNT Dallas College of Law: The College of Law is meeting with key members from UNT System Student Accounting and University Cashiering to review cash handling policies.	Jeane Olson, Director of Financial Service-Student Finance Reynaldo Valencia, College of Law Associate Dean for Finance and Administration and Professor of Law	11/30/2016	Closed
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	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	7b. Repair / replace / reposition nonfunctioning devices.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	7. UNT Dallas: Security Devices - Although our walkthrough of UNT Dallas Security Devices identified the following, University Administration has initiated a search of security technology vendors prior to this review: <ul style="list-style-type: none"> • 4 out of 25 cameras (16%) were not working properly and no video images were available at the time of review • cameras were not identifiable by a location • record retention protocols were not established • cameras over cashiering were not appropriately positioned to ensure full coverage • cameras and panic buttons were not being tested; therefore, we were unsure whether or not they are actually functioning. 	High	7c. Develop a process to periodically test all cameras and panic buttons.	UNT Dallas has begun work on a comprehensive building security technology project as recommended by Internal Audit. The project includes an overhaul of the campus' current security alarm, access, and camera systems. Additionally the campus will implement an emergency notification system including laptop/desktop computer panic buttons in specified locations. The two cameras in the Student Finance cash handling area have been re-positioned as requested. The remainder of the project will be implemented in stages as soon as vendors and funding are approved.	Cliff Jaynes, Chief of Police	3/1/2017	Closed

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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 of 5 members for FY 2016 appointed by the Student Government Association were also working as Student Assistants for the Office of Student Affairs.	High	9a. Update the UNT Dallas Student Service Fee Advisory Committee bylaws to prohibit any Student Service Fee Advisory Committee member to be a compensated Student Assistant of any Student Services Fee funded departments other than the Committee itself.	The Student Service Fee Advisory Committee By-laws will be updated to reflect that students who are currently student assistants and funded by student fees may not hold a seat by either Student Government Association appointment or President appointment.	Jamaica Chapple, Dean of Student Affairs	8/22/2016 Revised 01/24/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	10. UNT Dallas: Academic Catalogs- During our review of the UNT Dallas Undergraduate and Graduate Catalogs for academic years 2013-2014, 2014-2015 and 2015-2016, we noted that the Catalogs available online did not provide the students current, complete and accurate information.	Moderate	10a. Update the University Catalogs to include accurate tuition and fee information.	VP of Student Access and Success will work with Office of the Registrar to implement a thorough catalog review and revision process to be conducted by each department, even when department information is listed in another department's section, not owned by that division/department. Catalog will be updated to cover current, complete and accurate information.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	10. UNT Dallas: Academic Catalogs- During our review of the UNT Dallas Undergraduate and Graduate Catalogs for academic years 2013-2014, 2014-2015 and 2015-2016, we noted that the Catalogs available online did not provide the students current, complete and accurate information.	Moderate	10b. Develop departmental procedures to help ensure that published University Catalogs reflect current tuition and fee information in compliance with University Board of Regents Rules.	VP of Student Access and Success will work with Office of the Registrar to implement a thorough catalog review and revision process to be conducted by each department, even when department information is listed in another department's section, not owned by that division/department. Catalog will be updated to cover current, complete and accurate information.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	11. UNT Dallas: Apply Texas Billing and Refunds - During our review of graduate application fee credit card payments submitted through ApplyTexas, we noted that applicants were inconsistently charged from February 2014 to September 2015 for graduate application fees.	Moderate	11a. Work with ApplyTexas to identify the reason for the rate discrepancy between fall and spring semesters.	VP of Student Access and Success will work with the Director of Graduate Admissions to request that ApplyTexas identify why inaccurate charging was applied inconsistently to applicants during fall and spring semesters. VP and Directors will also work together with ApplyTexas to identify students improperly charged and refund any overcharges.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	11. UNT Dallas: Apply Texas Billing and Refunds - During our review of graduate application fee credit card payments submitted through ApplyTexas, we noted that applicants were inconsistently charged from February 2014 to September 2015 for graduate application fees.	Moderate	11b. Identify and refund any applicants that have been overcharged.	VP of Student Access and Success will work with the Director of Graduate Admissions to request that ApplyTexas identify why inaccurate charging was applied inconsistently to applicants during fall and spring semesters. VP and Directors will also work together with ApplyTexas to identify students improperly charged and refund any overcharges.	Stephanie Holley, Vice President of Student Access and Success	2/1/2017	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	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	Closed
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	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	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	UNT Dallas Student Fees Audit	UNT Dallas	<p>17. UNT Dallas: Student Service Fee Advisory Committee Composition - During our review of the FY 2014-2015 UNT Dallas Student Service Fee Advisory Committee composition, we noted that the student government appointed five undergraduate students as representative of all students enrolled at the institution. When the committee deliberated in FY 2015, none of the members appointed by the student government were graduate students. Additionally, when the committee deliberated on FY 2016, none of the members appointed by the student government were graduate or law students.</p> <p>Furthermore, we noted that since UNT Dallas and UNT Dallas College of Law are not within the same reasonably contiguous geographic area, some activities funded partially with student services fees may not be easily accessible and directly benefiting the Law student community.</p>	Moderate	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>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.</p> <p>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	17b. Develop a process to help ensure that student services activities funded with student services fees at UNT Dallas are more easily accessible to the College of Law students.	<p>The Student Service Fee Advisory Committee will ensure that the Student Government Association appoint one graduate student, and one college of law student to ensure representation of all students at UNT Dallas. Student Affairs will continue to expand the current process to ensure core services are available for students at the college of law.</p> <p>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 	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	Closed

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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	Closed
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 	Rebecca Greenan, College of Law - Assistant Dean of Students	5/31/2017	Closed

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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-	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	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 / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Academic and Students	Student Service Fee Audit	UNT	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	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. • High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. • For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%.	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 1a. Coordinate with Student Accounting and University Cashiering Services to determine an effective and efficient way to disburse loans and collect repayments.	a. Coordinate with Student Accounting and University Cashiering Services to transition loan program to an electronic disbursement, and repayment system (non-cash). Coordinate with Division of Student Affairs Advancement Specialist to secure a small allotment of gas and food cards for the purpose of disbursing to students facing critical and immediate need.	Paul Goebel, Assistant Director III, SMMC	09/01/ 2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. • 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	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	1. The rate of default for the Green Loan Program (GLP) is high as compared to similar loans managed by the Student Money Management Center (SMMC), and at this rate, the loan program is unsustainable. <ul style="list-style-type: none"> High default rate; 67.5% at December 31, 2015 and 60% at January 31, 2016 as compared to about 10% for the other loan programs. For loans issued prior to August 2013, the collection rate since August 2013 to January 2016 is 9% , less than 4% per year. Overall default rate for old and new loans is 72%. 	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 1c. Review loans issued prior to August 2013 and document current status e.g. whether and when a student graduated, whether they are a current student, whether all appropriate blocks are in place, and whether all necessary documents are in file.	c. Review loans issued prior to August 2013 and document current status, all appropriate blocks are in place, and all necessary documents are in file.	Danielle Champagne, Student Services Coordinator II	8/01/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	2. The current practice at Student Money Management Center (SMMC) is that management has some discretion as to the loan amounts and the repayment period for the Green Loan Program (GLP). Current procedures do not sufficiently document when and how much management discretion is allowable. <ul style="list-style-type: none"> There is some management discretion as to the amount of fees to charge, for 1 out of 24 loans tested, an exception was noted where the total fees and charges due was \$23; \$20 late charge and \$3 service charge. Only \$17 was collected while \$6 was waived. Additionally, procedures are not specific as to whether fees apply to a specific dollar amount of the loan i.e. \$100 or \$50. Management also has some discretion as to the repayment date. For example, management can alter the repayment date if it falls on a weekend or if the student is aware of a difficulty in repaying before the deadline. 	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 2a. Review current GLP manual and update for procedures related to management discretion, including but not limited to, defining the exceptions and stating how and when management discretion should be applied, and also ensure that it is consistent with the current practice.	a. Redraft Green Loan Program manual's management discretion reference. Include list of approved exceptions that would fall under the scope of "management discretion."	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	2. The current practice at Student Money Management Center (SMMC) is that management has some discretion as to the loan amounts and the repayment period for the Green Loan Program (GLP). Current procedures do not sufficiently document when and how much management discretion is allowable. <ul style="list-style-type: none"> There is some management discretion as to the amount of fees to charge, for 1 out of 24 loans tested, an exception was noted where the total fees and charges due was \$23; \$20 late charge and \$3 service charge. Only \$17 was collected while \$6 was waived. Additionally, procedures are not specific as to whether fees apply to a specific dollar amount of the loan i.e. \$100 or \$50. Management also has some discretion as to the repayment date. For example, management can alter the repayment date if it falls on a weekend or if the student is aware of a difficulty in repaying before the deadline. 	Moderate	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 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.	b. Identify a standard date of annual review for the GLP manual. Documentation of date of review on title page will be included in the updated GLP manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	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

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	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	Governance and Regulatory Compliance	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 Rev. 08/31/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	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	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	5. There are instances where information on Student Money Management Center (SMMC) website is not consistent with information in the procedures Green Loan Program (GLP) manual. One of the terms and conditions listed on the SMMC's website and in the GLP manual says that both transcript and registration blocks will be applied to late and default accounts but the intention and practice is to use transcript blocks only.	Low	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 5a. Review information currently posted to SMMC website for accuracy and consistency with policies and procedures.	a. Information posted to SMMC website has been reviewed for consistency with policies and procedures.	Danielle Champagne, Student Services Coordinator II	8/15/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	5. There are instances where information on Student Money Management Center (SMMC) website is not consistent with information in the procedures Green Loan Program (GLP) manual. One of the terms and conditions listed on the SMMC's website and in the GLP manual says that both transcript and registration blocks will be applied to late and default accounts but the intention and practice is to use transcript blocks only.	Low	Recommendations for Paul Goebel, Assistant Director III, Student Money Management Center: 5b. Establish a process to ensure review of information posted to SMMC website is performed periodically.	b. Annual date of website review has been set as August 1, documentation of this step will be included in the revised Green Loan Program Manual.	Paul Goebel, Assistant Director III, SMMC	8/1/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	6. The Green Loan Program (GLP) is not being maintained on an imprest basis as required by UNT cash handling policies. The Green Loan petty cash fund is not being maintained on an imprest system; when repayments are received, only fees get deposited while the principal is retained in the petty cash fund to be used to disburse for new loans.	Low	Recommendation for Paul Goebel, Assistant Director III, Student Money Management Center: 6a. Coordinate with Financial Reporting and Vice President for Finance and Administration, UNT, to determine how to best comply with UNT cash handling policies.	a. Coordinate with Student Accounting and University Cashiering Services to transition loan program to an electronic disbursement, and repayment system (non-cash). This will eliminate the need for the SMMC to handle any cash.	Paul Goebel, Assistant Director III, SMMC	9/1/2016	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	7. The Student Money Management Center (SMMC) uses pre-numbered receipts; however, the receipts do not comply with guidelines set forth in UNT policies. SMMC uses pre-numbered receipts but the receipts have not been approved by Student Accounting and University Cashiering Services (SAUCS) as to form and content as required by Cash Handling Controls Policy 2.1.10.1 and does not have UNT logo printed on as required by UNT Sales and Receipt of Funds Policy 2.2.1.	Low	Recommendations for Assistant Director III, Student Money Management Center: 7a. Coordinate with SAUCS to obtain receipts that comply with UNT sales and Receipt of Funds Policy 2.2.1.	a. Obtain approved receipt book from UNT Printing Services.	Danielle Champagne, Student Services Coordinator II	6/23/2016	Closed	
Internal	UNT System Internal Audit	Fiscal Year 2016	Governance and Regulatory Compliance	UNT Student Money Management Center	UNT	7. The Student Money Management Center (SMMC) uses pre-numbered receipts; however, the receipts do not comply with guidelines set forth in UNT policies. SMMC uses pre-numbered receipts but the receipts have not been approved by Student Accounting and University Cashiering Services (SAUCS) as to form and content as required by Cash Handling Controls Policy 2.1.10.1 and does not have UNT logo printed on as required by UNT Sales and Receipt of Funds Policy 2.2.1.	Low	Recommendations for Assistant Director III, Student Money Management Center: 7b. Establish a process to ensure that all receipts issued are cleared by SAUCS as to form.	b. Implement the use of SAUCS-approved receipts and payment deposit process.	Danielle Champagne, Student Services Coordinator II	6/23/2016	Closed	
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally	Moderate	UNT should embed comments and/or notes within the supporting documentation Excel file to explain specific details of key amounts, calculations, and sources of information.	NA	NA	NA	NA	NA

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following: - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State information, and other information), was not formally	Moderate	UNT and UNTD should implement a "Lead Workpaper" separate from the formal sections that would be used to detail source documentation and other important information. This workpaper could include the Method of Finance calculation, the Local Funds Adjustment calculation, and each benefits calculation.	NA	NA	NA	NA
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	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 	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 	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	<p>Through review of the each entity's Benefits Proportionality processes and inspection of corresponding source documentation files, IA identified the following:</p> <ul style="list-style-type: none"> - Even though UNT documented procedures, accounting information, and screenshots within the source documentation file, there were not sufficient comments and/or notes embedded in the cells in the Section tabs explaining where information was obtained or what information was used for calculation. - UNT and UNTD did not utilize a "Lead Workpaper" tab within their source documentation files. This separate tab could be used to document all amounts and calculations related to the amounts recorded in the Section tabs as well as to embed notes and comments explaining the source of information in a clearer and more concise manner. - There was not an "Information/Documentation Needed to Complete the APS 011 Form" section within the source documentation files used by each entity of the UNT System. As a result, significant information relevant to completing the APS 011 Form (such as completion and review instructions, State 	Moderate	<p>All entities within the UNT System should consider including a section for "Information/Documentation Needed to Complete the APS 011 Form". It would be helpful to include the following:</p> <ul style="list-style-type: none"> - APS 011 Form and Instructions (FMX website) - Method of Finance (General Appropriations Act) - Applicable USAS Screens - Specific queries from PeopleSoft General Ledger - APS_Check report - Instructions for uploading the completed form and performing internal reviews by the entity and the UNT System - Key contacts within the State and the UNT System - Other related and important documentation 	NA	NA	NA	NA
Internal (Co-Sourced)	PwC	Fiscal Year 2016	Governance and Regulatory Compliance	UNT System Benefits Proportionality Internal Audit	UNT	<p>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.</p>	Moderate	<p>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.</p>	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 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.</p>	Moderate	<p>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.</p>	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	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The door going from the exterior balcony to the main building is equipped with a double-cylinder lock. Balcony occupants could be locked out of the building and unable to egress the balcony. Exterior door assemblies shall be permitted to have key operated locks from the egress side, provided that the following criteria are met: - There shall be a readily visible and durable sign in letters not less than 1 inch high on a contrasting background and located on or adjacent to the door. This sign shall read as follows: "THIS DOOR TO REMAIN UNLOCKED WHEN THE BUILDING IS OCCUPIED." - The locking devices are of a type that is readily distinguishable as locked. - A key is immediately available to any occupant inside the building when it is locked. The primary entrance/exit door may be equipped with a thumb lock provided it is the only locking/latching device on the door NFPA 1, Fire Code, Chapters 14.5.2.5.1 and 4.4.3.1.2	Door hardware will be replaced to allow re-entry from the balcony.	NA	1/31/2017 Revised 12/01/2018	Open

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

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 9 The copy machine located outside cubical WKSTN W3N obstructs the egress corridor to less than three feet.	The copy machine will be relocated.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	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. <ul style="list-style-type: none"> ▣ Electrical room 5E1 ▣ Room 3J2 ▣ Room 3E2 communications room floor penetrations extends all 5 floors and numerous wall penetrations. (5 violations) NFPA 1, Fire Code, Chapter 12.7.5.6.1	Penetrations will be properly sealed.	NA	11/14/2016	Closed
External	State Fire Marshal's Office	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	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	MET Building The MET Building is a five-story structure classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire sprinkler system, fire alarm system with smoke detection and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 12 The convenience stairs between the first and second floors lack corridor smoke doors on the second floor to close off the area from the egress corridor by the women's rest room 2T1. NFPA 1, Fire Code, Chapter 10.1.2; and NFPA 101, Life Safety Code, Chapter 8.6.9.1(3)	We need to consult with our local fire authority for possible solutions. Once consultation takes place we will be able to provide a timeline.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	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. <ul style="list-style-type: none"> ▣ 124 ▣ 310 NFPA 1, Fire Code, Chapter 63.3.1.8.4	Mounting hardware will be installed and cylinders will be secured.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	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. <ul style="list-style-type: none"> - 2nd floor cross hallway - 1st floor cross hallway NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Equipment will be relocated.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	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. <ul style="list-style-type: none"> - 406 - 240 NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	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	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	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 5 The chemical fume hood is being used for storage in the following rooms. - 310 - 240 NFPA1, Fire Code, Chapter 4.5.8.1	Items will be removed and stored properly.	NA	12/9/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 6 The chemical fume hoods throughout the building lack current inspection labels. The last inspection was dated 5/2015. (58 Violations) NFPA 1, Fire Code, Chapter 4.5.8.1	All hoods will be inspected and labeled properly.	NA	10/16/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 7 There are containers of hazardous chemicals improperly stored in the following rooms. - 406 - 118 NFPA 1, Fire Code, Chapter 34.4.1.1	Chemicals will be stored properly.	NA	12/9/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 8 An extension cord is used as permanent wiring in Room 553, which also has a filing cabinet sitting on the cord. NFPA 1, Fire Code, Chapter 11.1.7.6 and 11.1.7.5	This violation is in the CBH building, not RES. See the RES section for corrective action.	NA	12/26/2016	Closed
External	State Fire Marshal's Office	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 - EO1 - OLA Sect 2 NFPA 1, Fire Code, Chapter 11.1.2; and NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 10 The fire alarm panel was red tagged on 6/24/16 and UNT Staff state the system is current and operational, but no white correction tag is present. NFPA 1, Fire Code, Chapter 4.5.8.1	Correct tags will be attached.	NA	12/5/2016	Closed
External	State Fire Marshal's Office	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. - EO1 - 3M1 NFPA 1, Fire Code, Chapter 11.1.10	Faceplates will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	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 Revised 12/01/2018	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 13 Multiplug adapters are being used in the following rooms. - 406 - 448 NFPA 1, Fire Code, Chapter 11.1.5.2	Adapters will be removed and equipment properly connected.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 14 Appliances are plugged into surge protectors in the following rooms I, rather than directly into wall outlets. - 302H - 220D NFPA 1, Fire Code, Chapter 10.1.7	Outlets will be installed and appliances correctly connected.	NA	1/25/2017	Closed
External	State Fire Marshal's Office	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 - EO1 NFPA 1, Fire Code, Chapter 11.1.2; and NFPA 70, National Electrical Code, Articles 300.3 (A) and 300.4	Wiring will be properly capped and protected.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 16 The exit signs are not illuminated in the basement area. NFPA 1, Fire Code, Chapter 4.5.8.1	Signs will either be replaced or repaired.	NA	1/31/2017	Closed

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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	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 17 The fire sprinkler riser lacks appropriate valve signage. NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing and Maintenance of Water Based Fire Protection Systems, Table 5.1.1.2	Signage will be installed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	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 Revised 01/01/2018	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 19 Storage is piled within 18 inches of the sprinkler head in Hall 240. NFPA 1, Fire Code, Chapter 10.19.3.2	Items will be removed and stored properly.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 20 There is wiring hanging from the fire sprinkler system piping in lab 240. NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing And Maintenance of Water - Based Fire Protection Systems, Chapter 5.2.2.2	Wiring will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 21 Non-UL Listed electrical outlets are suspended from the ceiling in room 456. NFPA 1, Fire Code, Chapter 11.1.3; and NFPA 70, National Electrical Code 300.3	Proper outlets will be installed and Non-UL outlets will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 22 Surge protectors are daisy chained in room 406. NFPA 1, Fire Code, Chapter 11.1.6.2	Surge protectors will only be plugged into wall outlets.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	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 Revised 12/01/2018	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	RES Building The RES building is a five-story structure with a basement classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator.	NA	VIOLATION 24 The door leading from the chiller room to the main part of the building has a key operated lock. There is no secondary exit from the chiller room. NFPA 1, Fire Code, Chapters 14.5.2.1 and 14.5.2.3	We need clarity on this location, as the chiller room seems to have adequate exits.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 1 Storage is piled within 18 inches of sprinkler head in the following rooms. - 250 - 323 - 440 - 460 - 500 - 501 - 504 - 551 - 552 NFPA 1, Fire Code, Chapter 10.19.3.2	All storage will be relocated as needed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	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 - 5MEC north chase - IT rooms all six floors NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	1/31/2017	Closed

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

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 9 There is an unsecured CO2 cylinder in room 355. NFPA 1, Fire Code, Chapter 63.1.8.4	All cylinders will be secured.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 10 Two large wood crates block corridor egress by room 355. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Equipment will be removed.	NA	12/23/2016 Revised 04/10/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	CBH Building The CBH Building is a six-story structure with a penthouse classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, and an emergency generator.	NA	VIOLATION 11 Stairwell two first floor has unapproved storage under the stairs. NFPA 1, Fire Code, Chapter 14.6.3.1	Storage will be removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 There are missing ceiling tiles in the following locations. - 4th floor elevator - 2nd floor cross hall NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The stairwell doors lack the required two hour fire rating throughout the building. NFPA 1, Fire Code, Chapter 12.7.3.1	Doors will be evaluated and labeled properly, or replaced.	NA	3/1/2017 Revised 02/01/2018	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 The doors on room 852 have self-closing mechanisms that do not function properly. NFPA 1, Fire Code, Chapter 12.4.6.19.1	Hardware will be repaired or replaced.	NA	1/31/2017 Revised 05/01/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 4 Combustibles are stored under stairwell A on the first floor. NFPA 1, Fire Code, Chapter 14.6.3	Materials will be removed and stored properly.	NA	12/23/2016 Revised 04/30/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 5 There are unused openings in the electrical panels in the following rooms. - 8M1 - 5LS6 - 3M3 - 474 NFPA 1, Fire Code, Chapter 11.1.2; NFPA 70, National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 6 There are unsealed penetrations in the following rooms. - 5M3 - 6M3 - 1E1 - 2E1 NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 7 Storage is piled within 18 inches of the sprinkler head in room 662. NFPA 1, Fire Code, Chapter 10.19.3.2	Storage will be removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 8 The chemical fume hoods lack current inspection labels. The last inspection was dated May 2015. (45 locations) NFPA 1, Fire Code, Chapter 4.5.8.1	All fume hoods will be inspected and labeled.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 9 The chemical fume hoods are being used for storage in the following rooms. - 632 - 546 - 544 - 474 NFPA1, Fire Code, Chapter 4.5.8.1; and NFPA 45, Standard on Fire Protection for Laboratories using Chemicals, Chapter 9.2.3.7	Chemicals will be removed and stored properly.	NA	12/23/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 10 There are containers of hazardous chemicals improperly stored in the following rooms. - 546 - 544 - 474 - 646 NFPA 1, Fire Code, Chapter 34.4.1.1	Chemicals will be stored properly.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 11 There are unsecured gas cylinders in room 554. NFPA 1, Fire Code, Chapter 63.3.1.8.4	All cylinders will be secured properly.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 12 Electrical junction boxes in following rooms are missing the protective covers. - 3M3 - 4M2 - 4M3 - 474 - 8M1 NFPA 1, Fire Code, Chapter 11.1.10	Protective covers will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 13 The interior exit stairwell B lacks the required enclosed rated construction. NFPA 1, Fire Code, Chapters 14.6.1.1 and 14.6.1.2	Consultation for appropriate corrective action will need to occur.	NA	1/31/2017 Revised 03/01/2018	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Evert Building The Evert Building is an eight-story structure with a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 14 The interior exit stairwell A lacks the required enclosed rated construction. NFPA 1, Fire Code, Chapters 14.6.1.1 and 14.6.1.2	Consultation for appropriate corrective action will need to occur.	NA	1/31/2017 Revised 03/01/2018	Open
External	State Fire Marshal's Office	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	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 2 Room 126 computer area has extension cords used as a replacement for permanent wiring to power the computers. NFPA 1, Fire Code, Chapter 11.1.7.6	Electrical outlets or appropriate wiring will be installed.	NA	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 3 Room 126K is missing the cover plate for the light switch. NFPA 1, Fire Code, Chapter 11.1.10	Cover plate will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	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	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	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 6 Room 4ME2 has an unused opening in electrical panel L4A. NFPA 1, Fire Code, Chapter 11.1.2 and NFPA 70 National Electrical Code, Article 408.7	All openings in panels will have covers.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 7 The basement high voltage room is used for storage, NFPA 1, Fire Code, Chapter 10.19.5.1	Storage will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 8 Sprinkler piping in the following areas have wires attached to the pipe. - Basement electrical supply room - Basement fresh air chase NFPA 1, Fire Code, Chapter 13.3.3.2; and NFPA 25 Standard for the Inspection, Testing And Maintenance of Water-Based Fire Protection Systems, Chapter 5.2.2.2	All items suspended from sprinkler piping will be removed.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 9 The Fire Department Connection (FDC) is blocked by vegetation. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4 and 13.1.4.1	A clear path will be created to the FDC.	NA	12/23/2016 Revised 04/30/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Library The Library is a five-story structure with a basement classified as a mixed occupancy consisting of existing assembly and existing business. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and a generator.	NA	VIOLATION 10 In the Kiva Lounge area the flexible electrical power cords for the food warming equipment is run across the floor and is subject to physical damage. NFPA 1, Fire Code, Chapter 11.1.7.5	Wiring will be routed in a way that protects them.	NA	1/31/2017 Revised 04/30/2017	Closed
External	State Fire Marshal's Office	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 Revised 12/01/2018	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	East Parking Garage The East Parking Garage is a three-story structure classified as an existing storage occupancy. Features of fire protection include a dry stand pipe system, a fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the stairwells.	NA	VIOLATION 1 The fire department standpipe connections are obstructed by vehicles on all levels of the parking garage. NFPA 1, Fire Code, Chapter 13.1.4.1	Standpipe connections will be routed so they are not obstructed.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	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	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The dining room electrical outlet is missing the protective cover plate. NFPA 1, Fire Code, Chapter 11.1.10	The electrical plate will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	St. Emillion Restaurant The St. Emillion Restaurant is a two-story structure classified as an existing assembly occupancy. Features of fire protection include a UL300 wet chemical fire suppression system, single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 Extension cords are used as a substitute for permanent wiring in the kitchen area. NFPA, Fire Code, Chapter 11.1.7.6	Extension cords will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 1 There are interconnected power strips in room 101. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strips will only be plugged into wall outlets.	NA	12/31/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 2 The side exit door will not open, it appears to be painted shut. The forces required to open the door by manual means shall not exceed 15 lbs to release the latch, 30 lbs to set the door in motion, and 15 lbs to open the door to the minimum required width. These forces shall be applied at the latch stile. NFPA 1, Fire Code, Chapter 14.5.1.5.1	Door will be repaired to open easily.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Blue House 800 Clifton Street The Blue House is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station, battery operated smoke detectors and portable fire extinguishers. Illuminated exit signs are provided.	NA	VIOLATION 3 The garage located under the house is used for storage of combustible materials and lacks a fire rated separation from the first floor. The room ceiling is exposed wood floor joists and exposed wood flooring. NFPA 1, Fire Code, Chapter 10.19.6; and NFPA 101, Life Safety Code, Chapter 8.7.1.1	Combustible materials will be removed.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	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	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 2 The class K portable fire extinguisher is missing from its mounting location. NFPA1, Fire Code, Chapter 4.5.8.1	Fire extinguisher will be mounted properly.	NA	3/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Former - Daycare Building (3620 Modlin) The Former Daycare Building is a single-story structure currently classified as an existing business occupancy. Features of fire protection include a fire alarm and detection system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting. (Currently the building is temporarily being used as an office and may be a daycare again in the future.)	NA	VIOLATION 3 In room 3 the center cubical has interconnected power strips. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strips will only be plugged into wall outlets.	NA	11/2/2016	Closed

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

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

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 6 Surge protectors are daisy chained in the following locations. - 5th floor main lobby - Hallway near room 594 - 311 cubicle NFPA 1, Fire Code, Chapter 11.1.6.2	All surge protectors will be plugged directly into wall outlets.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	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	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 8 The fire door near room 451 is obstructed by the carpet and will not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	12/23/2016 Revised 05/01/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 9 The fire door near room 584 requires more than 15 pounds to open. The forces required to open the door by manual means shall not exceed 15 lbs to release the latch, 30 lbs to set the door in motion, and 15 lbs to open the door to the minimum required width. These forces shall be applied at the latch stile. NFPA 1, Fire Code, Chapter 14.5.1.5.1	The fire doors will be repaired or removed if it is determined they are no longer necessary.	NA	1/31/2017 Revised 05/01/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 10 The Fire Department Connection (FDC) is obstructed at the front of the building. NFPA 1, Fire Code, Chapters 13.1.3, 13.1.4; and 13.1.4.1	A clear path will be created to the FDC.	NA	12/31/2016 Revised 05/10/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 11 The junction box in the penthouse air handler room is missing the cover. NFPA 1, Fire Code, Chapter 11.1.10	Junction box cover will be replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Patient Care Center The Patient Care Center is a six-story structure classified as an existing business occupancy. Features of fire protection include a fire sprinkler system, fire alarm system, and portable fire extinguishers. The building is equipped with illuminated exit signs, emergency lighting and an emergency generator.	NA	VIOLATION 12 The sprinkler heads in the following locations have been altered or were inappropriately installed and will not function properly when activated. - 5th floor north lobby - Hall near room 594 NFPA 1, Fire Code, Chapter 4.5.8.1	Sprinkler equipment will be repaired or replaced.	NA	2/28/2017 Revised 05/01/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Student Services Building (1002 Montgomery) The Student Services Building is a two-story structure classified as an existing business occupancy. Features of fire protection include a fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 There is an unsealed penetration in IT room 2E2. NFPA 1, Fire Code, Chapter 12.7.5.1	All penetrations will be properly sealed.	NA	12/31/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 1 An extension cord is used as a replacement for permanent wiring at the second floor reception desk. NFPA 1, Fire Code, Chapter 11.1.7.6	The extension cord will be removed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 2 The group exercise room rear exit is partly blocked by a rack for free weights. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Weight rack will be relocated.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 3 The landing outside the cardio room east exit door has a piece of rebar sticking out of the concrete creating a tripping hazard. NFPA 1, Fire Code, Chapters 4.4.3.1.1 and 14.4.1	Rebar will be removed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	Founders Activity Center/PACE Building (3515 W. 7th St.) The Founders Activity Center/PACE Building is a two-story structure classified as a mixed occupancy consisting of existing business and existing assembly. Features of fire protection include single-station smoke detectors and portable fire extinguishers. The building is equipped with illuminated exit signs.	NA	VIOLATION 4 Room 203 door is equipped with a key lock and if locked occupants do not have access to the secondary exit from the second floor. NFPA 1, Fire Code, Chapters 14.5.2.1 and 14.5.2.3	Door hardware will be replaced to prevent anyone from being locked in the room.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	7th Street Strip The 7th Street Strip Building is a one-story structure classified as an existing business occupancy. Features of fire protection include single-station smoke detectors. The building is equipped with illuminated exit signs emergency lighting. Note: At the time of the inspection only unit 3609 was occupied the other sections of the building are undergoing renovations. UNIT 3609 Eric Wear DDS Office	NA	VIOLATION 1 In the corridor closet O2 bottles are stored with an artificial Christmas tree. NFPA 1, Fire Code, Chapter 4.1.3.3.2.1	Christmas tree will be removed.	NA	12/31/2016	Closed
External	State Fire Marshal's Office	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

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	FEB/General Services Building The FEB/General Services Building is a one-story structure classified as an existing business occupancy. Features of fire protection include a complete fire alarm system, full fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The installation label is missing on the fire alarm panel. NFPA 1, Fire Code, Chapter 4.5.8.1	Labels will be properly installed.	NA	12/5/2016	Closed
External	State Fire Marshal's Office	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 111. NFPA 1, Fire Code, Chapter 10.19.5.	Combustible materials will be removed.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	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	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 1 The exit signs throughout the building are not illuminated. NFPA 1, Fire Code, Chapter 4.5.8.1	Exit signs will be repaired or replaced.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 2 The junction box in the room 1M1 is missing the cover. NFPA 1, Fire Code, Chapter 11.1.10	Junction box cover will be installed.	NA	1/31/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report	UNTHSC	May Building The May Building is a single story structure classified as an existing business occupancy and is used as a clinic. Features of fire protection include single station battery operated smoke alarms and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting.	NA	VIOLATION 3 There are missing ceiling tiles in room 137. NFPA 1, Fire Code, Chapter 13.7.4.3.9	Ceiling tiles will be replaced.	NA	12/23/2016	Closed
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2017	Governance and Regulatory Compliance	Loss Prevention Report	UNT	6 reports/audits performed. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA
External	Hartford Steam Boiler Inspection and Insurance Company (HSB)	Fiscal Year 2017	Governance and Regulatory Compliance	Loss Prevention Report, Healthcare Risk Control	UNTHSC	2 reports/audits performed; no findings identified. For more detailed information please see the reports from Risk Management.	NA	NA	NA	NA	NA	NA

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External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-01 Safety: Fire Safety: Portable Fire Extinguishers (Frisco Campus) During this RMPR, SORM noted that the portable fire extinguishers on the Frisco Campus lacked an indication that they are being inspected monthly, as required by the Life Safety Code.	NA	SORM recommends that UNT communicate with the building owner/maintenance personnel to ensure that these inspections are occurring, as required. Inspections must be documented either on each extinguisher's tag or in a separate database or log. References: NFPA-101 (2015), "Life Safety Code," Chapters 39.3.5, 9.9; NFPA-10 (2013), "Standard for Portable Fire Extinguishers," Chapters 7.2.1.2, 7.2.1.2.1, 7.2.2	UNT will communicate with building owner to ensure that those inspections are occurring.	Shauna Barbato, Assistant Director	1/27/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-02 Safety: Emergency Preparedness: Shelter-in-Place Drill (Frisco Campus) During this RMPR, SORM noted that a shelter-in-place drill had not yet been conducted for this location.	NA	SORM recommends that UNT conduct a drill for this location to include the students to the degree that this is feasible. Identifying the occupancy of specific locations for a shelter in place event prior to an event is good risk management practice and can help improve the current plan in place. Reference: SORM, RMTSA Guidelines, Volume III, Section Two, Chapter 6, Subchapter 6.5	UNT will conduct shelter-in-place drills before the end of the spring semester.	Shauna Barbato, Assistant Director	4/30/2017	Closed
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
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	Closed

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External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-05 Safety: Hazard Communication: Safety Data Sheets and Eyewash Solution (Union Building (Denton Campus)) During this RMPR, SORM noted that in Paint Room #121 in the Union Building, paints and other hazardous chemicals were being stored. However, there were no Safety Data Sheets present for these chemicals. In addition, it was noted that the room is utilized by various student groups, and there is a procedure for signing up to access the room for various projects. There is an eyewash station within walking distance of the room itself.	NA	SORM recommends that the university maintain SDS's for all chemical substances in the room, and ensure that any groups using the room temporarily possess and follow the instructions of the SDS's for the hazardous substances they will be using. The university should measure the distance from the room to the eyewash station, and if it is less than 10-seconds walking-distance (as per the language in the ANSI standard), the university should install a portable, auxiliary eyewash bottle in the room to assist the injured person while moving to the eyewash station. If the eyewash station is further away than this, then a plumbed or self-contained eyewash station should be installed in the room, in accordance with the ANSI standard referenced below. References: OSHA, 29 CFR 1910.1200, "Hazard Communication;" OSHA, 29 CFR 1910.151 (c); ANSI/ISEA z358.1 (2014), "Standard for Emergency Eyewash and Shower Equipment"	UNT will install a mobile eyewash station and add SDS sheets for any hazardous materials.	Scott Dunkle, Program Director for Environmental Risk	2/28/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	Risk Management Program Review Report	UNT	17-11-06 Safety: Fire Safety: Avesta Kitchen (Union Building (Denton Campus)) During this RMPR, SORM noted that in the "Avesta" kitchen in the Union Building several metal caps were hanging from the fire-suppression nozzle heads, and some nozzles were missing their "O-rings." This indicates a level of grease accumulation that will prevent the fire suppression system from operating as intended during a fire. Additionally, it was noted that the manual activation ("pull") stations were not marked, as required by the Fire Code.	NA	SORM recommends that the university mark the pull stations to indicate which part of the system each one controls, and establish a cleaning schedule for the nozzle heads such that grease does not accumulate in them in significant amounts. References: NFPA-1 (2015), "Fire Code," Chapters 50.4, 50.4.7.1, 50.5.6, 50.5.6.1, 50.5.6.3	O-rings will be replaced on fire-suppression nozzles and all metal caps will be inspected to ensure nozzles are positioned correctly. A cleaning schedule will be established to ensure the fire-suppression nozzle heads do not accumulate a significant amount of grease. The manual activation ("pull") stations will be marked to indicate which part of the system each one controls.	Vickie Coffey, Health and Food Safety Officer	2/28/2017	Closed
External	State Office of Risk Management	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Consultation Report	UNTHSC	17-10-01 Safety: Fall Protection: Ladder Cage SORM noted during the consultation that the metal ladder secured to the wall beneath the grating in the sidewalk between the RES Building and the Library leading down to the transformer pit was missing a required cage.		17-10-01 Safety: Fall Protection: Ladder Cage SORM recommends that the university install an OSHA-compliant cage to this ladder, as per the standard referenced below. Reference: OSHA, 29 CFR 1910.127 and 1910.127(d)(1)(ii)	NA	Matthew Moncus, Director for the Safety Office	3/31/2017 Revised 12/01/2018	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
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

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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.	Cleaning will be included as a part of regular maintenance on the panelboards.	Matthew Moncus, Director for the Safety Office	1/31/2017	Closed
External	Tarrant County	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Fiscal Monitoring Review	UNTHSC	Tarrant County reviewed all expenditures for May-June 2016. No findings or recommendations.	NA	None	None	NA	NA	NA
External	Health Resources and Services Administration (HRSA)	Fiscal Year 2017	Governance and Regulatory Compliance	On-Site Fiscal Program Monitoring Review	UNTHSC	The primary scope of this on-site visit was to review program objectives and progress. OGCM met with HRSA for 30 minutes making introductions and providing a brief overview of organization and processes.	NA	None	None	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 The corridor fire doors by room 266 B do not close and latch properly. NFPA 1, Fire Code, Chapter 12.4.6.9.2(6) and (8)	UNT will repair doors to latch properly.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Room 355 Security closet - Apartment 280 Hole in ceiling by entrance door - Room 412 unsealed and improperly sealed mineral wool not secured in place by fire caulking. NFPA 1, Fire Code, Chapter 12.7.5.1 and 12.3.3.1	UNT will properly seal penetrations.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Multipurpose room 270 A/B has an occupant load in excess of 49 people and lacks the required exit signs. NFPA 1, Fire Code, Chapters 20.1.4.7.1 and 14.14.1.1	UNT will install exit signs	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Rawlings Hall Rawlings Hall is a four story new dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 There is a dead end corridor on both the second and third floors that exceed the allowable distance of 50 feet. The corridors measured 64 feet long. On the second floor rooms 228 and 229 cannot be normally occupied. The third floor rooms 328 and 329 cannot be normally occupied due to the excessive dead-end corridor distance. Note: Rooms no longer being used. NOTE: The violation was noted several inspection cycles ago by the SFMO and the university was instructed at that time they were not to use these rooms. During this inspection it was observed the rooms were again being used. The Housing Staff stated the Risk Management Department told them since the building was retro fitted with a fire sprinkler system the rooms could now be used. THE SFMO instructed the university the rooms cannot be used, the code does not allow dead end corridors to exceed 50 feet in unsprinklered or sprinklered buildings. The university was ordered to lock the rooms and post signs the rooms are not to be occupied by order of the State Fire Marshal's Office. NFPA 1, Fire Code, Chapter 14.10.1.5; and NFPA 101, Life Safety Code, Chapter 29.2.5.5	Completed. Rooms are no longer being used.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and	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
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Paneling is applied to the walls located in the first floor business office corridor that does not meet class A or B interior finish requirements. NFPA 1, Fire Code, Chapter 20.13.3.2.1	UNT will replace paneling.	NA	4/3/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The First floor A/C 3 room has an unsealed floor penetration. NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 5 The door separating the business occupancy from the dormitory occupancy lacks a fire rating. Provide documentation this door is not located in a fire wall. NFPA 1, Fire Code 6.1.14.4.1(a)	UNT will provide documentation.	NA	8/1/2017	Open

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 The stairwell fire door on the third floor center stairwell has a continuous hinge and does not have UL listing information on hinge NFPA 1, Fire Code, Chapters 12.7.3.1, 12.7.3.2.2 and 12.7.3.2.3	UNT will label the hinge.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Crumley Hall Crumley Hall is a three-story mixed occupancy consisting of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The emergency egress floor plans are incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 1 Fire doors in the following locations are damaged or missing parts. - B wing third floor stairwell door holes in door - B wing third floor broken wired glass panel - B wing second floor holes in door - Corridor fire door by room 146 missing latch plate and holes in door from old door hinge mount - B wing first floor holes in door and vent cut in door NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(1)(4)	UNT will repair doors and/or replace missing parts.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 2 HVAC vents for the building system are located in the stairwells. (6 stairwells x 3 floors) NFPA 1, Fire Code, Chapter 14.3.1 (10) (d)	Completed. All vents have been sealed.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 3 Unsealed or improperly sealed penetrations are present in the following locations. - C wing south stairwell unsealed penetration conduit for smoke detector - Custodial closet A wing - Corridor by room 379 hole in ceiling - Mechanical room A/C 7 improper material used to seal penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Clark Hall Clark Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 4 The First floor corridor fire door by mechanical room A/C 3 has a ventilation grate cut in the bottom half of the door. The door is no longer a UL listed fire door assembly. Additionally the door is missing the door latch cover plate. NFPA 1, Fire Code, Chapters 12.4.6.9.1 and 12.4.6.9.2(10) (4)	UNT will replace door.	NA	8/1/2017	Open

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

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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 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	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 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	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 6 Pizza conveyer type oven is open and produces grease laden vapors and is not protected by the UL-300 Wet chemical system. NFPA 1, Fire Code, Chapter 50.4.3.2	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 The pizza conveyer oven is not located under the vent a hood as required. NFPA 1, Fire Code, Chapter 50.2.1.1	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 8 The storage room located next to the boiler room off the loading is not protected by the building fire sprinkler system. NFPA 1, Fire Code, Chapter 13.3.1.2 and 13.3.2.26.2	UNT will add sprinkler coverage.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 9 The sprinkler system hydraulic calculation plate is unreadable. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will have the plate re-made.	NA	3/1/2017	Closed

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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 1 Sprinkler heads are missing the escutcheons in the following locations. - Room 801B - Laundry room 719B two heads NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will order new escutcheons, may have to replace sprinkler heads if escutcheons cannot be located due to sprinkler head age.	NA	3/1/2017	Closed
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	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 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

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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 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	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	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	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	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	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	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	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	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	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	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

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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 1 The center stairwell first floor has an unsealed penetration around the security camera wire. NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal the penetration.	NA	2/1/2017	Closed
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. ☐ Missing detector ☐ Pre-alarmF1 #1 elevator ☐ 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	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 6 Covers are missing off electric door controller panels and splice boxes for the exhaust controls in mechanical room 2280. NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace covers.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 7 Housing security room located off mechanical room 2280 has a power strip plugged into a UPS. NFPA 1, Fire Code, Chapter 11.1.6.2	UNT will develop a permanent solution.	NA	5/1/2017	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 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	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 9 The first floor elevator lobby fire doors lack vertical bottom rods and floor latching points or fire pins. (4 sets) NFPA 1, Fire Code, Chapter 12.4.1; and NFPA 80 Standard for Fire Doors and Other Opening Protectives, Chapter 4.6.3.1	UNT will replace vertical bottom rods and add floor latching points.	NA	3/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Victory Hall Victory Hall is a four-story mixed occupancy consisting of existing dormitory and existing assembly use. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, fire pump and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	N/A	Finding 10 Mechanical room 2280 has storage of materials not related to mechanical equipment operation. These items include but not limited to mop buckets, mops, paint, furniture, ceiling tiles. NFPA 1, Fire Code, Chapter 10.19.5.1	UNT will remove those materials.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Honors Hall Honors Hall is a five-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system with smoke detection, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency	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	N/A	Finding 2 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The third floor elevator lobby doors do not latch. NFPA 1, Fire Code, Chapter 12.4.6.9.1 and 12.4.6.9.2(8)	UNT will adjust closure.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - IT closet 324, 377 277,224, 124 4 inch conduits not sealed - Room 373 ceiling penetrations - Room H205 4 inch conduit not sealed - Six electrical rooms throughout the building 3/4 inch conduit not sealed NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 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
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 4 The third floor stairwell 3.2 panic bar lacks a label indicating the bar is UL listed fire exit hardware. NFPA 1, Fire Code, Chapter 14.5.3.4.2	UNT will install fire rated device.	NA	2/1/2017	Closed

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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 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	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 6 In room 149 a new drop ceiling has been installed. The sprinkler heads have not been relocated below the new ceiling. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will move sprinkler head into new ceiling.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Traditions Hall Traditions Hall is a three-story existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 7 Elevator lobby fire doors are on electronic hold open devices and lack the required smoke detectors within five feet of the doors. NFPA 1, Fire Code, Chapter 14.5.4.1(3)	Completed. UNT installed smoke detectors.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 1 The three fire sprinkler risers are yellow tagged since December 2015. Tags state gauges, not replaced or 5 year calibration". NFPA 1, Fire Code, Chapter 13.3.3.2	Completed. UNT replaced gauges.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 2 Unsealed or improperly sealed penetrations are present in the following locations. - Telephone room unsealed ceiling and floor penetrations - Cable TV room unsealed ceiling and floor penetrations - Room ST3H - Corridor outside room 222 - Room A/C2A - Main electrical room first floor above main switch gear not properly sealed unapproved material NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 3 Emergency lights failed to operate when tested in the following locations. - Stairwell B third floor - Corridor by room 203 NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace emergency lights.	NA	2/1/2017	Closed

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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 4 Sprinkler heads are missing escutcheons in the following areas. - Stairwell A third floor - Room ST3H NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will reinstall escutcheon.	NA	3/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 5 Fire doors in stairwell B on the first floor lack a UL listed fire rating label or label from another recognized testing lab. NFPA 1, Fire Code, Chapter 12.7.3.2.2	Install fire rated hardware	NA	5/1/2017	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 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	UNT will evaluate the best course of action for completion.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 7 Storage located by room 227 has a single cylinder dead bolt lock installed with the key side located inside the room and a thumb latch on the exterior side. Occupants can be locked inside the room. NFPA 1, Fire Code, Chapters 4.4.3.1.2, 14.5.2.1 and 14.5.2.3	UNT will reverse door hardware.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Santa Fe Hall Santa Fe Hall is a three-story structure classified as existing apartment occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power.	N/A	Finding 8 The emergency egress floor plans are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Legends Hall Legends Hall is a four-story structure classified as existing dormitory occupancy. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 1 The emergency egress floor plan diagram signs are missing or incorrect and need to be redone for all rooms. NFPA 1, Fire Code, Chapter 20.8.2.4.1	UNT will review for accuracy and develop plans.	NA	8/31/2017	Open

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

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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 5 The fire alarm control panel is indicating troubles on the system. (Power supply) NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair power supply.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 6 The computing center east exit store front glass doors have curtains installed on the doors making the doors blend in with the store front windows that also have curtains installed. NFPA 1, Fire Code, Chapter 14.4.2.1	Completed. UNT removed curtains.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	College Inn The College Inn consists of four three-story buildings classified as a mixed occupancy of existing apartment buildings, existing dormitory, existing assembly and existing business. Each dorm room and apartments have a door to the exterior. The upper floors have a concrete walkway that connects to a breezeway which provides egress from the units. Features of fire protection include a complete fire alarm system and portable extinguishers.	N/A	Finding 7 Documentation was not available at the time of the inspection that the carpet installed on the walls in the computing center has been tested and approved for vertical wall application. Carpet installed on walls or ceilings shall meet class A requirements and in accordance with the requirements of NFPA 1 Fire Code. Manufactures documentation shall be supplied indicating the carpet has been tested in accordance with NFPA 1 approved testing methods and meets or exceeds the code standard.	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 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	UNT will add sprinkler protection.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 2 The east, west, north and south stairwells on floors one through three have a chase in the stairwell with cover plates that lack the required 1 hour fire rating. (14 locations) NFPA 1, Fire Code, Chapter 14.3.1(1)	UNT will replace access panels w/ fire rated panels.	NA	5/1/2017	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 3 The corridor smoke door by room 612 does not close properly. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will adjust closure.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 4 The stairwells have HVAC vents penetrating the exit enclosure. (18 locations) NFPA 1, Fire Code, Chapter 14.3.1(10)	Completed. UNT sealed vents.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	West Hall West Hall is a three-story structure classified as a mixed occupancy of existing assembly and existing dormitory occupancies. The building is separated into north and south wings. Features of fire protection include a complete fire alarm system, fire sprinkler system and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency lighting units in the event of emergencies involving power loss.	N/A	Finding 5 The first floor east stairwell door has holes in the door from a previous hinge. NFPA 1, Fire Code, Chapter 12.4.6.9.2(1) (d)	UNT will seal holes in door or replace door.	NA	2/1/2017	Closed
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	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 8 In the kitchen walk in cooler number 1 spray foam is on the sprinkler head. NFPA 1, Fire Code, Chapter 13.3.3.2	UNT will replace sprinkler head fixture.	NA	2/1/2017	Closed

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

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

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

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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 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	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 5 Unsealed or improperly sealed penetrations are present in the following locations. - Room D460 unsealed penetrations - Custodial room across from room 2029 unsealed penetrations - "D" wing electrical closet unsealed penetrations - Storage room by room B310 unsealed penetrations - Room 2073 unsealed and improperly sealed penetrations floor, ceiling and wall - Storage closet across from room C210 unsealed penetrations - "A" wing second floor ice machine room unapproved yellow spray foam - Second floor IT closet unsealed penetrations - "B" wing second floor custodial closet unsealed penetrations - "A" wing second floor laundry room unsealed four inch conduit - Closet across from room A211 unsealed penetrations - Closet across from A110 unsealed penetrations - Custodial closet by room A101 unsealed penetrations NFPA 1, Fire Code, Chapter 12.7.5.1	UNT will seal penetrations.	NA	5/1/2017	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	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	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 8 Fire and smoke doors in the following areas do not close properly. - Corridor smoke door by room A325 - Fourth floor stairwell fire door "D" wing - Corridor smoke door by room C301 - Near B222 - Near A201 - Near A121 NFPA 1, Fire Code, Chapter 12.9.4.1, 12.4.6.9.1 and 12.4.6.9.2(6)	UNT will adjust doors.	NA	2/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 9 The fire alarm control panel is displaying system troubles. NFPA 1, Fire Code, Chapter 4.5.8.1	Completed. UNT cleared panel trouble codes.	NA	12/23/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Bruce Hall Bruce Hall is a four story structure classified as a mixed occupancy consisting of existing dormitory and existing assembly. Features of fire protection include a fire alarm system with smoke detection, fire sprinkler system, standpipe, and portable fire extinguishers. The building is equipped with illuminated exit signs, and a generator for back-up power in the event of emergencies involving power loss.	N/A	Finding 10 The kitchen UL 300 wet chemical fire suppression system for the Combi oven and grill is red tagged since December of 2015, the tag states "No electric shutdown". NFPA 1, Fire Code, Chapter 50.4.6.1	Shunt trip added. Contacting Fire Systems for red tag	NA	2/1/2017	Closed

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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 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	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 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	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 15 In the Jon Collins room there is a battery operated smoke alarm on the wall that failed to operate when tested. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will repair or replace smoke detector.	NA	2/1/2017	Closed

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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	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 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	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 20 Electrical splice box are missing covers in the following: - B wing janitorial closet - Storage closet near A211 NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace missing covers.	NA	2/1/2017	Closed

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External	US Department of Justice	Fiscal Year 2017	Governance and Regulatory Compliance	National Institute of Justice (NIJ) Capacity Enhancement and Backlog Reduction Program Desk Review	UNTHSC	None	NA	None	NA	NA	NA	NA
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 10 Room 419A has a sprinkler head loaded with dust. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove dust.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 11 Stairwell B on the fourth floor is missing the stairwell identification sign. NFPA 1, Fire Code, Chapter 10.12.3.1	UNT will add the missing identification sign.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 12 The fire alarm control panel indicates a trouble on the system. (Due to ongoing air handler unit replacement). NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will evaluate the best course of action for completion.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 13 The corridor illuminated exit sign by room 360A is not operational. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will repair exit sign.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 14 The corridor sprinkler head by room 236A is missing the escutcheon. NFPA 1, Fire Code, Chapter 4.5.8.1	UNT will replace escutcheon.	NA	8/1/2016	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 16 The following rooms have multi outlet adapters installed. ☐ Room 225A ☐ Room 237A NFPA 1, Fire Code, Chapter 11.1.5.2	Completed.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 17 Room 401A has a ceiling fan missing the cover plate exposing electrical wiring. NFPA 1, Fire Code, Chapter 11.1.10	Facilities will replace the cover plate.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 18 Documentation was not available at the time of the inspection that the carpet installed on the walls in room 362A has been tested and approved for vertical wall application. Carpet installed on walls or ceilings shall meet class A requirements and in accordance with the requirements of NFPA 1 Fire Code. Manufacturers 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.	UNT will evaluate the best course of action for completion.	NA	9/1/2016	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	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 19 The portable fire extinguisher at the first floor front desk lacks a current inspection tag. The last inspection is dated April 2014. Additionally the extinguisher is sitting on the back countertop and requires a mounting location. NFPA 1, Fire Code, Chapter 4.5.8.1	Extinguisher was inspected and tag was added.	NA	NA	Closed
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.	NA	FINDING 2 All portable fire extinguishers in the building have inspection tags that are not punched for month and year. (18 fire extinguishers) NFPA 1, Fire Code, Chapter 13.6.9.3.3; and Texas Administrative Code 28 Chapter 34.520©	All extinguishers have been inspected and tagged.	NA	NA	Closed

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External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 21 Pizza conveyer type oven is open and produces grease laden vapors and is not protected by the UL-300 Wet chemical system. NFPA 1, Fire Code, Chapter 50.4.3.2	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 22 The pizza conveyer oven is not located under the vent a hood as required. NFPA 1, Fire Code, Chapter 50.2.1.1	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 23 The Combi smoker unit has a flexible extension cord wired to power the unit. NFPA 1, Fire Code, Chapter 11.1.2	Facilities will replace extension cord with a permanent solution.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 24 The portable fire extinguisher located in the kitchen grill area lacks a current inspection tag. The last inspection was conducted in April 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities inspected fire extinguisher and added tag.	NA	NA	Closed
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.	NA	FINDING 25 Access to the electrical panels in the dry storage room is blocked by boxes. NFPA 1, Fire Code, Chapter 11.1.2	UNT will remove boxes.	NA	8/1/2016	Closed

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Internal / External	Reporting Agency	Fiscal Year Report was Issued	Audit Category	Report Name	Component Institution	Key Observations	Risk Level	Recommendation Details	Management Response	Individual Responsible for Implementation	Expected Implementation Date	Recommendation Status
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 26 The following locations have a hasp and pad lock installed on the exterior side of the doors. Ⓚ Walk in cooler #1 (protein cooler) in the kitchen area. Ⓚ Outside entrance to the boiler room by loading dock NFPA 1, Fire Code, Chapter 14.5.2.1 and 14.5.2.3	UNT will remove locks from exterior.	NA	10/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 27 The storage room located next to the boiler room off the loading is not protected by the building fire sprinkler system. NFPA 1, Fire Code, Chapter 13.3.1.2 and 13.3.2.26.2	Facilities will install sprinkler head.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 28 The FDC for the standpipe system is blocked by carts. NFPA 1, Fire Code, Chapter 13.1.4	UNT will remove carts.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 29 The sprinkler system hydraulic calculation plate is unreadable. NFPA 1, Fire Code, Chapter 13.3.3.2	Facilities will create a new plate.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 Laundry room 665A has a sprinkler head loaded with dust and lint. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove dust and lint.	NA	9/1/2016	Closed
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.	NA	FINDING 30 Documentation was not available at the time of the inspection that the egg crate style foam installed on three walls in room 762A meet class C flame spread and smoke development requirements, is tested for vertical installation and is in accordance with the testing requirements of NFPA 1 Fire Code. Manufactures documentation shall be supplied indicating the foam has been tested in accordance with NFPA 1 approved testing methods and meets or exceeds the code standard.	Facilities will provide documentation.	NA	9/1/2016	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	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 4 Room 663A has an electrical splice box missing a cover. NFPA 1, Fire Code, Chapter 11.1.10	UNT will replace cover.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 Laundry room 661A has spring hinges that do not close the door. NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will adjust doors.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Stairwell C fire door on the sixth floor has a door sweep installed that is keeping the door from closing. NFPA 1, Fire Code, Chapter 12.4.6.9.2 (6)	Facilities will repair door sweep.	NA	8/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 7 Egress corridors on floors two, three, four, five, six and seven have multiple small holes in the ceiling due to the removal of IT wireless points. NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly fill holes.	NA	9/1/2016	Closed
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.	NA	FINDING 8 Room 621A has an extension cord used as a replacement for permanent wiring. Additionally the cord is run under a rug. NFPA 1, Fire Code, Chapters 11.1.7.6 and 11.1.7.5	UNT removed extension cord.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-A Kerr Hall-Building-A seven-story high-rise, classified as a mixed occupancy of existing dormitory and existing assembly. Features of fire protection include a fire alarm system, sprinkler system fire pump, standpipe, fixed suppression for commercial cooking appliances and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The emergency egress floor plans are missing from the back of the room doors in the following locations. ☐ Room 437A ☐ Room 431A NFPA 1, Fire Code, Chapter 20.8.2.4.1	Floor plans will be created and added to the back of the room doors.	NA	9/1/2016	Closed

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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.	NA	FINDING 1 Unsealed or improperly sealed penetrations are present in the following locations. - Room A743 Several unsealed penetrations - Room A763A Several unsealed penetrations - Mechanical room 643A Several unsealed penetrations - Mechanical room 641A Unsealed sprinkler pipe and - Electrical room next to 641A floor conduit sealed with non-fire rated yellow spray foam used - Room 631A Floor penetrations - Mechanical room 563A non-fire rated yellow spray foam used - Mechanical room 543A non-fire rated yellow spray foam used - Room 541A non-fire rated yellow spray foam used - Room 531A Several unsealed penetrations - Mechanical room 505A non-fire rated yellow spray foam used - Room 507A Floor conduit unsealed - Room 463A non-fire rated yellow spray foam used - Mechanical room 443A non-fire rated yellow spray foam used - Electrical room next to 441A non-fire rated yellow spray foam used - Room 405A non-fire rated yellow spray foam used - Room 363A non-fire rated yellow spray foam used	UNT will seal penetrations.	NA	5/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	Finding 1 Sprinkler heads are missing the escutcheons in the following locations. - Room 801B - Laundry room 719B two heads NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will replace missing escutcheons.	NA	9/1/2016	Closed
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.	NA	FINDING 10 Both stairwells discharge into the building interior on the first floor. Not less than fifty percent of the exits shall discharge directly to the exterior of the building. NFPA 1, Fire Code, Chapter 14.11.2(1)	UNT will evaluate the best course of action for completion.	NA	8/1/2017	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 2 The sprinkler heads in the following locations are loaded with lint. ☐ Laundry room 519B ☐ Laundry room 619B NFPA 1, Fire Code, Chapter 4.5.8.1	Facilities will remove the lint.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 3 Unsealed or improperly sealed penetrations are present in the following locations. ☐ Mechanical room 522B non fire rated yellow spray foam used ☐ Mechanical room 402B non fire rated yellow spray foam used ☐ Storage room 301B hole in ceiling NFPA 1, Fire Code, Chapter 12.7.5.1	Facilities will properly seal all penetrations.	NA	9/1/2016	Closed

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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.	NA	FINDING 4 The eighth floor corridor by stairwell E has a painted sprinkler head. NFPA 1, Fire Code, Chapter 13.3.3.5.1.8	UNT will remove paint from the sprinkler head.	NA	9/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 5 The following locations have holes in the fire doors or are missing parts. ☐ Stairwell D seventh floor holes in door ☐ Stairwell D sixth floor holes in door ☐ Stairwell E fifth floor hole in door ☐ Stairwell E third floor latch plate missing ☐ Stairwell D third floor hole in door and latch plate missing ☐ Stairwell D first floor latch plate missing NFPA 1, Fire Code, Chapters 12.4.6.9.1 and	Facilities will repair doors and replace parts.	NA	10/1/2016	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	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 6 Stairwell E on the fourth floor is missing the stairwell identification sign. NFPA 1, Fire Code, Chapter 10.12.3.1	Facilities will replace sign.	NA	9/1/2016	Closed
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.	NA	FINDING 7 The glass double doors on the first floor separating the residential corridor from the main lobby area lack a 90 minute fire rating. Provide documentation that these doors are not installed in a two hour rated fire wall. NFPA 1, Fire Code, Chapters 12.7.4.1 and 12.7.4.2	UNT will provide documentation.	NA	12/1/2016	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 8 Room 213B has a power strip plugged into a multi outlet adapter. NFPA 1, Fire Code, Chapter 11.1.6.2	Power strip was removed from the multi outlet adapter.	NA	NA	Closed
External	State Fire Marshal's Office	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Safety Inspection Report - University of North Texas Denton Residential	UNT	Kerr Hall Building-B Kerr Hall-Building-B is an eight-story high-rise, classified as a mixed occupancy of existing dormitory and existing business. Features of fire protection include a complete fire alarm system, fire sprinkler system, standpipe and portable fire extinguishers. The building is equipped with illuminated exit signs and emergency generator power.	NA	FINDING 9 The Tower B elevator machinery room fire extinguisher lacks a current inspection tag. The tamper seal is dated 2014. NFPA 1, Fire Code, Chapter 4.5.8.1	Fire Extinguisher was inspected and tag was added.	NA	NA	Closed

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External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	For 4 (7 percent) of 61 students tested, the University of North Texas (University) did not accurately verify certain required items on the students' FAFSAs, and it did not always update its records and request updated ISIRs as required.	NA	Accurately and adequately verify all required FAFSA information for students selected for verification and request updated ISIRs when required.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action plan. Management reviewed manual errors with the employees and made changes to improve its verification entry, review, and monitoring process of completed verifications.	Dena Guzman-Torres and Lacey Thompson	6/1/2016	Closed
External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	For 4 (7 percent) of 61 students tested, the University of North Texas (University) did not accurately verify certain required items on the students' FAFSAs, and it did not always update its records and request updated ISIRs as required.	NA	Improve its process for monitoring completed verifications to ensure that it identifies and corrects errors.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action plan. Management reviewed manual errors with the employees and made changes to improve its verification entry, review, and monitoring process of completed verifications.	Dena Guzman-Torres and Lacey Thompson	6/1/2016	Closed
External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	The University of North Texas (University) did not correctly determine the 60 percent completion point for the Spring 2016 term.	NA	Accurately determine the number of days in scheduled breaks, and calculate returns of Title IV funds correctly based on the period of enrollment excluding scheduled breaks.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action to further improve the processes. The Office of the Registrar and the Office of Financial Aid updated its procedures to verify the accuracy of the number of days in scheduled breaks to ensure calculations for the Return of Title IV funds are correct based on the period of enrollment excluding scheduled breaks, and Title IV funds are returned within the required time frames.	Bryan Heard, Melissa Boyer, and Lacey Thompson	7/1/2016	Closed
External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	The University of North Texas (University) did not correctly determine the 60 percent completion point for the Spring 2016 term.	NA	Return Title IV funds within required time frames.	Management acknowledges and agrees with the findings and recommendations. Through analysis of the exceptions identified in the audit, the University will work to develop and implement the corrective action to further improve the processes. The Office of the Registrar and the Office of Financial Aid updated its procedures to verify the accuracy of the number of days in scheduled breaks to ensure calculations for the Return of Title IV funds are correct based on the period of enrollment excluding scheduled breaks, and Title IV funds are returned within the required time frames.	Bryan Heard, Melissa Boyer, and Lacey Thompson	7/1/2016	Closed

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External	State Auditor's Office	Fiscal Year 2017	Governance and Regulatory Compliance	State of Texas Federal Portion of the Statewide Single Audit Report For the Fiscal Year Ended August 31, 2016	UNT	For 2 (3 percent) of 61 students tested who had a status change, the University did not report the status change to NSLDS in a timely manner.	NA	The University should report accurate status changes and effective dates to NSLDS in a timely manner.	Management is attentive to the U.S. Department of Education requirements associated with Student Status Changes. Management has updated and implemented business controls to ensure accurate and timely reporting to the National Student Clearinghouse and the National Student Loan Data System for all students who have status changes. The Office of the Registrar has implemented the following to ensure the timely and accurate reporting of enrollment: -New business procedures addressing the reporting of deceased students. -Errors related to the reporting of students enrolled between terms have been corrected via changes to protocols for processing of administrative changes. -New business procedures for the correction of errors for manual error correction processes with the National Student Clearinghouse have also been implemented.	Bryan Heard	12/1/2016	Closed
External	Texas Commission on Environmental Quality	Fiscal Year 2017	Governance and Regulatory Compliance	Notice of Violation	UNT	Failure to prevent the unauthorized release of laboratory wastewater under the Science Research Building.	NA	The facility is required to determine the full extent of contamination and complete remedial actions, pursuant to Title 30 Texas Administrative Code Chapter 350. The facility is also requested to submit documentation that these actions have been completed, for review and approval, to the TCEQ DFW Region Office.	On July 19, 2016, the facility submitted adequate analytical results for the Synthetic Precipitation Leaching Procedure (SPLP) analysis that determined the chemicals of concern's (arsenic, cadmium, lead, silver) leachability for the affected soils. As the levels are below the PCLs for all constituents of concern, the release is not subject to TRRP; and in concurrence with the TCEQ Remediation Division, no additional remedial activities are required. Therefore, the alleged violation is resolved.	NA	NA	Closed
External	Texas Department of State Health Services	Fiscal Year 2017	Governance and Regulatory Compliance	Incident Inspection	UNT	This notice is to acknowledge that the Texas Department of State Health Services (DSHS) conducted an inspection of or visited your business on the date listed above. The information that has been gathered is subject to further department review, and you may receive additional correspondence as a result.	NA	No recommendations/issues.	No recommendations/issues.	NA	NA	NA
External	BKD, LLP	Fiscal Year 2017	Governance and Regulatory Compliance	Cancer Prevention and Research Institute of Texas Program (CPRIT) - Specific Audit Report for year ended August 31, 2016	UNT HSC	In our opinion, the University of North Texas System complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on its CPRIT program for the year ended August 31, 2016.	NA	None	NA	NA	NA	NA
External	Accreditation Council for Pharmacy Education	Fiscal Year 2017	Governance and Regulatory Compliance	Review for Pharmacy Education Accreditation	UNTHSC	Accreditation Council for Pharmacy Education	NA	None	NA	NA	NA	NA
External	Texas Department of Licensing	Fiscal Year 2017	Governance and Regulatory Compliance	Boiler Inspections	UNTHSC	Boiler Inspections	NA	NA	NA	NA	NA	NA
External	Communication Concepts	Fiscal Year 2017	Governance and Regulatory Compliance	Fire Alarm and Emergency Communication System Inspection	UNTHSC	Fire Alarm and Emergency Communication System Inspection	NA	NA	NA	NA	NA	NA

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External	State Office of Risk Management; AIG	Fiscal Year 2017	Governance and Regulatory Compliance	Property All Risk Survey	UNT	16-11-01 Electrical Preventative Maintenance - Conduct the following tests on liquid filled transformers according to NFPA 70: 1. Annual oil gas analysis 2. Insulation resistance every 3 to 5 years 3. Insulation power factor every 3 to 5 years 4. Turns ratio test every 3 to 5 years	NA	Thorough testing can detect deteriorating conditions before a failure occurs, allowing for corrective action to be taken to ensure the transformer functions properly.	Will consider options.	NA	NA	Closed
External	State Office of Risk Management; AIG	Fiscal Year 2017	Governance and Regulatory Compliance	Property All Risk Survey	UNT	16-11-02 Roof Inspections - Develop an in-house roof inspection program. The inspection should check the general condition of the roof coverings, perimeter flashings, gutters, drains, ventilators and other roof-mounted equipment. Any foreign items such as bolts, tools, trash, etc. should be removed from the roofs. The inspections should initially focus on identifying water ponding and cleaning drains.	NA	The inspections should initially focus on identifying water ponding and cleaning drains as needed. During the survey several ponding areas were observed at the Performing Arts Center. It was noticed that the reason for the ponding was due to blocked drains from lack of cleaning. The inspection program should extend to all roofs on the campus, focusing on the ones with blocked drain issues.	Will consider.	NA	NA	Closed
External	State Office of Risk Management; AIG	Fiscal Year 2017	Governance and Regulatory Compliance	Property All Risk Survey	UNT	16-11-03 Flammable Liquids Cabinet (Radio TV Film and Performing Arts) - Store the flammable/combustibles liquids (paints, primers, etc.) located in the stage work shop of the Radio, TV, Film, and Performing Arts building in flammable/combustible liquids storage cabinets meeting the requirements of NFPA 30.	NA	Flammable and combustible liquids present a significant fire hazard should they ignite. An unconfined spill fire can spread over large areas overtaxing sprinkler systems and resulting in significant property damage and interruption to business operations. Locating the liquids in a storage cabinet lessens the likelihood they will ignite and provides a form of confinement	Will complete.	NA	NA	Closed
External	State Office of Risk Management; AIG	Fiscal Year 2017	Governance and Regulatory Compliance	Property All Risk Survey	UNT	16-11-04 Clean Agent Extinguishers (Radio TV Film and Performing Arts) - Provide clean agent type extinguishers inside the control rooms and the server rooms of the TV and Film areas according to NFPA 10 - Standard for Portable Fire Extinguishers.	NA	High valued electronic equipment is located in this area. In case of fire in the equipment, the agent inside the ABC extinguisher will immediately damage all of the equipment.	Will consider.	NA	NA	Closed
External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	Print Annex - The Print Annex serves as the printmaking workshop. Printmaking types include printing presses, relief printing, intaglio, monoprinting, and lithography. In each of these activities, solvents containing volatile organic compounds (VOCs) are used to clean equipment after use. Some acids are also used in lithography to etch the printing plates. The professor in the Print Annex reported that several activities, such as spray painting and roller washing, are performed outside or next to the open doors outside to minimize contamination of indoor air. The industrial ventilation system in the Print Annex was apparently intended to serve as a local exhaust ventilation, but actually serves as dilution ventilation. Dilution ventilation is not the preferred method of controlling airborne vapors, as airflow volumes are high as are the costs of providing conditioned outside air volumes sufficient for dilution ventilation. The industrial ventilation system is ducted to above work stations approximately 10-12 feet above the floor. Make-up air for the industrial ventilation system is provided by a vent that opens to the outdoors when the switch for the ventilation system is turned to the "on" position. The industrial ventilation system provides approximately 396 cubic feet per minute (CFM) of airflow out of the building. The pressure of the room was measured to be neutral to	NA	Provide pre-treated make-up supply and ventilation air through either modifications to the air conditioning system or installation of a dedicated outdoor air system, such as a Munters silica gel dehumidification system. The recommended method is the Munters silica gel dehumidification system due to it's decoupling from the air condition system and independent humidity control.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	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	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Print Annex - The Print Annex serves as the printmaking workshop. Printmaking types include printing presses, relief printing, intaglio, monoprinting, and lithography. In each of these activities, solvents containing volatile organic compounds (VOCs) are used to clean equipment after use. Some acids are also used in lithography to etch the printing plates. The professor in the Print Annex reported that several activities, such as spray painting and roller washing, are performed outside or next to the open doors outside to minimize contamination of indoor air.</p> <p>The industrial ventilation system in the Print Annex was apparently intended to serve as a local exhaust ventilation, but actually serves as dilution ventilation. Dilution ventilation is not the preferred method of controlling airborne vapors, as airflow volumes are high as are the costs of providing conditioned outside air volumes sufficient for dilution ventilation.</p> <p>The industrial ventilation system is ducted to above work stations approximately 10-12 feet above the floor. Make-up air for the industrial ventilation system is provided by a vent that opens to the outdoors when the switch for the ventilation system is turned to the "on" position. The industrial ventilation system provides approximately 396 cubic feet per minute (CFM) of airflow out of the building. The pressure of the room was measured to be neutral to</p>	NA	Install elephant trunk local exhaust ventilation at workstations with capture velocities no less than 100 fpm and duct transport velocities no less than 1,000 fpm.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open
External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Print Annex - The Print Annex serves as the printmaking workshop. Printmaking types include printing presses, relief printing, intaglio, monoprinting, and lithography. In each of these activities, solvents containing volatile organic compounds (VOCs) are used to clean equipment after use. Some acids are also used in lithography to etch the printing plates. The professor in the Print Annex reported that several activities, such as spray painting and roller washing, are performed outside or next to the open doors outside to minimize contamination of indoor air.</p> <p>The industrial ventilation system in the Print Annex was apparently intended to serve as a local exhaust ventilation, but actually serves as dilution ventilation. Dilution ventilation is not the preferred method of controlling airborne vapors, as airflow volumes are high as are the costs of providing conditioned outside air volumes sufficient for dilution ventilation.</p> <p>The industrial ventilation system is ducted to above work stations approximately 10-12 feet above the floor. Make-up air for the industrial ventilation system is provided by a vent that opens to the outdoors when the switch for the ventilation system is turned to the "on" position. The industrial ventilation system provides approximately 396 cubic feet per minute (CFM) of airflow out of the building. The pressure of the room was measured to be neutral to</p>	NA	Install a ventilated paint spray booth designed for spray painting activities of the following size: 6 ft. (width) by 4 ft. (depth).	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open

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External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Print Annex - The Print Annex serves as the printmaking workshop. Printmaking types include printing presses, relief printing, intaglio, monotyping, and lithography. In each of these activities, solvents containing volatile organic compounds (VOCs) are used to clean equipment after use. Some acids are also used in lithography to etch the printing plates. The professor in the Print Annex reported that several activities, such as spray painting and roller washing, are performed outside or next to the open doors outside to minimize contamination of indoor air.</p> <p>The industrial ventilation system in the Print Annex was apparently intended to serve as a local exhaust ventilation, but actually serves as dilution ventilation. Dilution ventilation is not the preferred method of controlling airborne vapors, as airflow volumes are high as are the costs of providing conditioned outside air volumes sufficient for dilution ventilation.</p> <p>The industrial ventilation system is ducted to above work stations approximately 10-12 feet above the floor. Make-up air for the industrial ventilation system is provided by a vent that opens to the outdoors when the switch for the ventilation system is turned to the "on" position. The industrial ventilation system provides approximately 396 cubic feet per minute (CFM) of airflow out of the building. The pressure of the room was measured to be neutral to</p>	NA	Install a ventilated chemical fume hood for roller washing of the following size: 6 ft. (width) by 4 ft. (depth).	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open
External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Clay Mixing Room - The clay mixing room contains three large mixers for batch mixing of clays. Clay powder and water are poured into the mixer to create clay of the correct consistency. During the pouring and mixing processes, particulates are released. Particulates should be captured at the source to prevent dust from entering the user's respiratory system.</p> <p>Currently, each mixer is serviced by a local exhaust vent located along the wall next to the mixer. The local exhaust vents are all ducted to a single outlet and exhaust fan on the roof. The vents are filtered using a consumer-type HVAC filter. Air is supplied to the room through two supply vents located in the wall above the mixers. A pass-through vent is located along the wall with the adjacent plaster room to allow air to flow between the rooms for return to the HVAC system. Total flow in the Clay Mixing Room was measured at 299 CFM (negative) when the vents are operational. As shown in Table 1, the room is under negative pressure, indicating that the room does not have sufficient supply air and that the industrial ventilation system is starved for air.</p> <p>In addition to the lack of supply air, the local exhaust vents do not provide sufficient capture velocity at the source (Table 2) to capture the particulates. A capture velocity of 500 fpm at the face of the hood and within one duct diameter of the source of dust emissions is required to</p>	NA	Install an elephant trunk ventilation system at each workstation where dust is emitted and maintain a capture velocity of 500 fpm at the face of the hood and within one duct diameter of the source and a transport velocity through the ductwork of 4,000 fpm.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open

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External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Clay Mixing Room - The clay mixing room contains three large mixers for batch mixing of clays. Clay powder and water are poured into the mixer to create clay of the correct consistency. During the pouring and mixing processes, particulates are released. Particulates should be captured at the source to prevent dust from entering the user's respiratory system.</p> <p>Currently, each mixer is serviced by a local exhaust vent located along the wall next to the mixer. The local exhaust vents are all ducted to a single outlet and exhaust fan on the roof. The vents are filtered using a consumer-type HVAC filter. Air is supplied to the room through two supply vents located in the wall above the mixers. A pass-through vent is located along the wall with the adjacent plaster room to allow air to flow between the rooms for return to the HVAC system. Total flow in the Clay Mixing Room was measured at 299 CFM (negative) when the vents are operational. As shown in Table 1, the room is under negative pressure, indicating that the room does not have sufficient supply air and that the industrial ventilation system is starved for air.</p> <p>In addition to the lack of supply air, the local exhaust vents do not provide sufficient capture velocity at the source (Table 2) to capture the particulates. A capture velocity of 500 fpm at the face of the hood and within one duct diameter of the source of dust emissions is required to</p>	NA	Provide treated make-up supply air sufficient to balance the industrial ventilation system as described above..	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open
External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Clay Mixing Room - The clay mixing room contains three large mixers for batch mixing of clays. Clay powder and water are poured into the mixer to create clay of the correct consistency. During the pouring and mixing processes, particulates are released. Particulates should be captured at the source to prevent dust from entering the user's respiratory system.</p> <p>Currently, each mixer is serviced by a local exhaust vent located along the wall next to the mixer. The local exhaust vents are all ducted to a single outlet and exhaust fan on the roof. The vents are filtered using a consumer-type HVAC filter. Air is supplied to the room through two supply vents located in the wall above the mixers. A pass-through vent is located along the wall with the adjacent plaster room to allow air to flow between the rooms for return to the HVAC system. Total flow in the Clay Mixing Room was measured at 299 CFM (negative) when the vents are operational. As shown in Table 1, the room is under negative pressure, indicating that the room does not have sufficient supply air and that the industrial ventilation system is starved for air.</p> <p>In addition to the lack of supply air, the local exhaust vents do not provide sufficient capture velocity at the source (Table 2) to capture the particulates. A capture velocity of 500 fpm at the face of the hood and within one duct diameter of the source of dust emissions is required to</p>	NA	Capture particulates in an industrial-type dust filter prior to being vented outside.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open

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External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Glaze Room - The Glaze Room is used to mix pigments for glazing and coloring of the clay products. The pigments are made of fine powder which may also contain toxic air contaminants, including silica and various metal powders. The powder from the pigments should be captured to prevent student and staff exposure to the dusts and to minimize contamination in the room.</p> <p>Currently, the Glaze Room is serviced by three local exhaust vents and a fume hood ducted to a single exhaust system. The room also contains an air supply and return vent. During the assessment, air was found to be flowing into the room through the return instead of out of the room towards the HVAC unit, as it should have been. Total flow in the Glaze Room was measured at 464 CFM (negative). The room is under 5 to 5.5 Pa negative pressure in comparison to outside, confirming that the room does not have sufficient treated supply air.</p> <p>The current spray booth in the closet is operating as intended and is suitable for spraying glazes. Spraying glazes should only be conducted with the closet door open.</p> <p>In addition to the lack of supply air, the local exhaust vents do not provide sufficient capture velocity at the source to capture the particulates. The capture velocity of the existing exhaust ventilation system is approximately 65-70 fpm. A</p>	NA	Install an elephant trunk ventilation system at each workstation where dust is emitted and maintain a capture velocity of 500 fpm at the face of the hood and within one duct diameter of the source and a transport velocity through the ductwork of 4,000 fpm.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open
External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Glaze Room - The Glaze Room is used to mix pigments for glazing and coloring of the clay products. The pigments are made of fine powder which may also contain toxic air contaminants, including silica and various metal powders. The powder from the pigments should be captured to prevent student and staff exposure to the dusts and to minimize contamination in the room.</p> <p>Currently, the Glaze Room is serviced by three local exhaust vents and a fume hood ducted to a single exhaust system. The room also contains an air supply and return vent. During the assessment, air was found to be flowing into the room through the return instead of out of the room towards the HVAC unit, as it should have been. Total flow in the Glaze Room was measured at 464 CFM (negative). The room is under 5 to 5.5 Pa negative pressure in comparison to outside, confirming that the room does not have sufficient treated supply air.</p> <p>The current spray booth in the closet is operating as intended and is suitable for spraying glazes. Spraying glazes should only be conducted with the closet door open.</p> <p>In addition to the lack of supply air, the local exhaust vents do not provide sufficient capture velocity at the source to capture the particulates. The capture velocity of the existing exhaust ventilation system is approximately 65-70 fpm. A</p>	NA	Provide treated make-up supply air sufficient to balance the industrial ventilation system as described above.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open

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External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Glaze Room - The Glaze Room is used to mix pigments for glazing and coloring of the clay products. The pigments are made of fine powder which may also contain toxic air contaminants, including silica and various metal powders. The powder from the pigments should be captured to prevent student and staff exposure to the dusts and to minimize contamination in the room.</p> <p>Currently, the Glaze Room is serviced by three local exhaust vents and a fume hood ducted to a single exhaust system. The room also contains an air supply and return vent. During the assessment, air was found to be flowing into the room through the return instead of out of the room towards the HVAC unit, as it should have been. Total flow in the Glaze Room was measured at 464 CFM (negative). The room is under 5 to 5.5 Pa negative pressure in comparison to outside, confirming that the room does not have sufficient treated supply air.</p> <p>The current spray booth in the closet is operating as intended and is suitable for spraying glazes. Spraying glazes should only be conducted with the closet door open.</p> <p>In addition to the lack of supply air, the local exhaust vents do not provide sufficient capture velocity at the source to capture the particulates. The capture velocity of the existing exhaust ventilation system is approximately 65-70 fpm. A</p>	NA	Capture particulates in an industrial-type dust filter prior to being vented outside.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open
External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Kiln Room - The Kiln Room contains six electric kilns used for baking clay products. Temperatures of the kilns can reach over 1,000°F. Each kiln has an individual vent for circulating air through the kiln. When the clay is baked, organic matter in the clay is oxidized which can release carbon monoxide and other combustion gases. In addition, toxic materials in the glazes can vaporize or release toxic gases.¹</p> <p>Currently, the Kiln Room is serviced by a single supply vent and several return openings. The returns are not ducted, and there is an air supply duct located immediately above the kiln room on the roof. Total flow in the Kiln Room was measured at 574 CFM (negative flow), indicating that air was flowing into the room.</p>	NA	Modify the current HVAC ventilation to prevent untreated outdoor air from entering the space.	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open
External	Ramboll Environ US Corp.	Fiscal Year 2017	Governance and Regulatory Compliance	Ventilation System Assessment	UNT	<p>Kiln Room - The Kiln Room contains six electric kilns used for baking clay products. Temperatures of the kilns can reach over 1,000°F. Each kiln has an individual vent for circulating air through the kiln. When the clay is baked, organic matter in the clay is oxidized which can release carbon monoxide and other combustion gases. In addition, toxic materials in the glazes can vaporize or release toxic gases.¹</p> <p>Currently, the Kiln Room is serviced by a single supply vent and several return openings. The returns are not ducted, and there is an air supply duct located immediately above the kiln room on the roof. Total flow in the Kiln Room was measured at 574 CFM (negative flow), indicating that air was flowing into the room.</p>	NA	Provide treated make-up supply air sufficient to balance the exhaust system(s).	Risk Management is working with Facilities to determine a plan of action.	NA	NA	Open

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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	<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>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 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.</p>	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	<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>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 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.</p>	Susan Ross, Executive Director, Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT System	<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

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT Dallas	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.	Moderate	1. Recommendations for the University: a. Mask credit card and bank account information that is uploaded and retained in Enterprise Information System and/or ImageNow, to help ensure sensitive information is not compromised.	1a and b –Effective October 27, 2016, the Office of the President staff will mask all credit card and bank account information to help ensure sensitive information is not compromised. The Office of the President staff will also attend “process reimbursement” training (when available) to ensure we are following the recommended guidelines appropriately.	The Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT Dallas	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.	Moderate	1. Recommendations for the University: b. Develop a travel/entertainment support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.	1a and b –Effective October 27, 2016, the Office of the President staff will mask all credit card and bank account information to help ensure sensitive information is not compromised. The Office of the President staff will also attend “process reimbursement” training (when available) to ensure we are following the recommended guidelines appropriately.	The Office of the President	10/27/2016	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	President's Expenditure Review	UNT System	1. Personally Identifiable Information - During our review of travel, business and entertainment reimbursement support documentation in Enterprise Information System and/or ImageNow, we noted Personally Identifiable Information was not redacted prior to upload in the system. Specifically, the bank account number on two personal checks was not redacted.	Moderate	2. Recommendation for the UNT System: a. Provide training to individuals processing reimbursement to ensure all support documentation reviewed/processed does not contain personally identifiable information (PII). Additionally, when support documentation containing PII is received, we recommend returning the documentation back to the submitter with explanation for the PII to be redacted.	2a - Accounts Payable, UNTS Controller operations will take the following actions: Communicate to all employees and strongly emphasize in Travel process training provided across each component institution, the importance of protecting and redacting personal credit card and bank information on supporting documents submitted through the system. Training will also be provided to Accounts Payable staff to identify any Personally identifiable information (PII) on supporting documents submitted and if any PII is received without redaction, documents will be returned back to the submitter with explanation requiring required PII redaction prior to final processing.	Abdul N Mohammad, Sr. Director of Operations, UNT System, Office of the Controller	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Family Medicine Residency Program	UNTHSC	No findings/deficiencies.	NA	None	NA	NA	NA	NA
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	1. Cash Handling: UNT cash handling policies were not consistently followed in the College of Visual Arts and Design. Written cash handling procedures in the College of Visual Arts and Design were either nonexistent or incomplete and did not comply with UNT cash handling policies. Additionally, individuals who receive cash in the College of Visual Arts and Design either do not consistently record cash receipts in a log or do not maintain a cash receipts log at all.	Moderate	1. 1a. Develop written cash handling procedures as required by UNT Policy 10.006.	1a. Mary Braden (Budget Officer) will develop a draft procedure document for the College to be approved by the College Executive Committee, based on the UNT cash handling policy. We will explore the use of a cash handling template that is available for use. Once approved each individual who handles cash will be expected to adhere to these procedures.	Mary Braden, Administrative Coordinator IV; Peter Hyland, Director of the Onstead Institute for Education; Susan Sanders, CVAD Development Director	3/1/2017	Closed

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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. 1b. Ensure that those individuals who receive cash and checks record the receipt of funds in a log.	1b. The three individuals named will maintain either paper or electronic logs to record their cash handling.	Mary Braden, Administrative Coordinator IV; Peter Hyland, Director of the Onstead Institute for Education; Susan Sanders, CVAD Development Director	3/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<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	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>2. Personally Identifiable Information: Credit card information was not redacted prior to upload in ImageNow.</p> <p>During our review of travel reimbursement support documentation in ImageNow (Perceptive Content), we noted 3 of 21 travel vouchers (14.3%) where credit card numbers were not redacted prior to upload in the system. Two unredacted account numbers were for corporate credit cards. The other unredacted account number was for a personal credit card.</p>	Moderate	2. 1b. Develop a travel support checklist to minimize any oversight during preparation of documentation support to enhance completeness and accuracy.	1b. We will ensure a checklist is created and implemented.	Jerry Aul, Administrative Coordinator I	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>3. Budget Tracking: Personnel in the College of Visual Arts and Design (CVAD) indicated during interviews that they were experiencing difficulties with budget tracking, using PeopleSoft 9.2, and the new chart of accounts.</p> <p>It was mentioned that the PeopleSoft 9.2 upgrade and implementation of the new chart of accounts has added complexity to the budget tracking process. Personnel stated during interviews that additional resources and guidance on common challenges and issues would be useful. Moreover, CVAD personnel noted difficulty in obtaining clear, sufficient, and timely assistance from the UNT Budget Office.</p>	Moderate	<p>Recommendation for Dean:</p> <p>3. 1a. Ensure individuals with budget tracking responsibilities have received training related to PeopleSoft 9.2 and the new chart of accounts. Continue to work with the UNT Budget Office to improve and resolve challenges CVAD is experiencing.</p>	1a. We will check to ensure that staff have indeed participated and if not we will make sure that they seek and participate in appropriate training. As notification of trainings are issued, we will continue to encourage staff to take advantage of these opportunities.	Greg Watts, Dean of the College of Visual Arts and Design	3/31/2017	Closed

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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 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 checked="" 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 checked="" type="checkbox"/> Communication: Announcements Page on the Budget</p>	Beverly Cotton, Associate Vice President for Budget and Analytics	4/1/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship 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. 1a. Create a departmental policy for awarding scholarships.	1a. Seek guidance from the Scholarship Office on what is an acceptable documentation of a departmental scholarship process.	Jerry Aul, Administrative Coordinator I	4/30/2017	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship 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	Closed

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	College of Visual Arts and Design Transitional Audit	UNT	<p>4. Scholarships: Student Financial Aid and Scholarships' Best Practices for Scholarships and Awards are not consistently followed within the College of Visual Arts and Design.</p> <p>Internal Audit noted the following in CVAD:</p> <ul style="list-style-type: none"> - There are no working departmental scholarship polices; - Scholarship Committee minutes are not maintained; and - Scholarship criteria listed in the CVAD scholarship database did not match all the criteria in the corresponding donor agreements and other support documentation. 	Moderate	4. 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	Closed
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	Closed
Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	UNTHSC IT Change Management	UNTHSC	<p>2. Inconsistent Process and Documentation: The change management process and documentation requirements were not being followed.</p> <p>ITS used a combination of software to communicate internally and manage their projects. Documentation for recent changes that were identified as formal could not be produced to prove that the business impact was considered, a back-out plan existed, segregation of duties was maintained, or peer review was conducted.</p> <p>HIM and ITS implement changes to the NextGen application. When a high impact change requires the approval of the NextGen Task Force Committee. Representatives from each clinic attend, and a vote is taken on whether or not to implement the proposed change. However, the result of the vote is not documented.</p>	Moderate	<p>Recommendations for Chief 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 	We will transition change management approval and documentation to a centralized location (probably Jira) and educate ITS staff on entering and documenting changes.	Nathan Ribelin, Director, Helpdesk and Client Services, Information Technology Services	3/31/2017	Closed

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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 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>I agree with the all recommendations listed and expect to have the following items implemented by March 31, 2017:</p> <ul style="list-style-type: none"> • 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 	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>	<p>The Information Security and Privacy Committee will be assessing and assigning risk for applications and services beginning in the first quarter of 2017.</p>	Information Security and Privacy Committee (Co-Chairs: Chief Compliance Officer and Chief Information Officer).	3/31/2017	Closed

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

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

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Investments Audit	UNT System	2. Board of Regents Public Funds Investment Act Training: Public Funds Investment Act (PFIA) testing identified two of the newly appointed Regents did not have PFIA training completed within six months after taking office or assuming duties. Based on our detail testing, trainings were completed by the Board of Regent members eight and ten months after taking office.	Moderate	Recommendation to the Secretary to the UNTS Board of Regents: 2. 1a. Develop follow-up procedures to help ensure that Board of Regents complete PFIA required training session within six months after taking office of assuming duties in accordance with the statute.	The Office of the Board Secretary will create a tracking system that will be used to monitor the completion of the variety of required trainings for new Regents. The tracking system will include the training required, required completion date, when reminder emails are sent, and when training was completed.	Dr. Rosemary Haggett, Secretary to the UNTS Board of Regents	6/30/2017	Closed
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	Closed
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

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Internal	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	IT Change Management	UNT System	<p>3. Lack of Segregation Duties: The same person assigned to and completing the change in the development environment moved it to the production environment.</p> <p>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).</p>	Moderate	<p>Recommendation for IT Shared Services:</p> <p>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.</p>	<p>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.</p> <p>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.</p>	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>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>	<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.</p>	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>	<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.</p>	Charlotte Russell, Chief Information Security 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>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
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.</p> <p>48 of 50 (98%) of records did not include Specifications</p> <p>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	UNT System Internal Audit	Fiscal Year 2017	Governance and Regulatory Compliance	Behavioral Analysis PhD Program Funding Review, Management Advisory Service Report	UNT	This was a management advisory service.	NA	NA	NA	NA	NA	NA

UNTS Enterprise Audit Report Inventory

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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
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>	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

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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
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	<p>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.</p>	<p>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.</p>	<p>Rachel Kimball, Director of Donor Relations</p>	12/22/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>1. Funding Source Not Accurately Set Up</p> <p>The funding source for the FDC grant was not accurately set up to include fringe benefits for FDC employees in accordance with the FDC State Grant Agreement. Specifically, the chart string field for fringe benefits was inaccurate, resulting in the designation of \$14,377.58 to the incorrect fund.</p>	High	<p>1.1.a. Correctly set up the FDC grant in upcoming appropriation years to ensure that fringe benefits are configured as expenses to be included in the grant total from the correct funding source (i.e. chart field string) and coordinate with appropriate management from the Office of Finance & Planning as well as the UNT System Controller's office to confirm that the accurate funding source is being utilized.</p>	<p>1a. OGCM will coordinate with HSC Office of Finance & Planning and HSC System Controller's Office to ensure THECB appropriations for current and upcoming appropriation years are set up to indicate the correct funding source in the chart field string.</p>	<p>LeAnn Forsberg, Assistant Vice President of Research Administration</p>	5/19/2017	Closed

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Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.1.a. Initiate a cost transfer form for \$8,364.32 in unallowable expenses to be removed from .the THECB FDC grant as well as a cost transfer form for \$8,730.55 in allowable expenses from the local/discretionary account (300610) to be included on the THECB FDC grant and submit the form to the OGCM for review.	The TCOMOffice of Educational programs has initiated the recommended funds transfer in coordination with the OGCM.	Lisa Nash, Senior Associate Dean of Educational Programs (TCOM), and Cynthia Passmore, Director of Faculty Development Center	NA	Closed
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.1.b. Work with OGCM to update the workflow approval routing to go through the Director of the FDC, who, as head of the FDC, has greater oversight and first-hand knowledge of activities performed to be able to sufficiently review and approve expenses for the grant.	The Senior Associate Dean shall retain management oversight of the program and provide final approval of expenditures. Additionally, the Senior Associate Dean will provide guidance to participating staff, and an internal control/manual business process for the FDC Director to review expenses will be implemented.	Lisa Nash, Senior Associate Dean of Educational Programs (TCOM), and Cynthia Passmore, Director of Faculty Development Center	8/31/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.2.a. Review the expenses along with supporting documentation for appropriateness and provide approval to the UNT System Controller's office to post the transfer to the General Ledger.	OGCM has reviewed, approved and forwarded to the HSC System Controller's office the necessary cost transfers.	LeAnn Forsberg, Assistant Vice President of Research Administration	NA	Closed
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.2.b. Update the FDC grant AFR to appropriately reflect expenses charged to the grant and resubmit the AFR to the THECB.	OGCM will complete the revised FDC grant AFR and will forward the revised AFR to the THECB.	LeAnn Forsberg, Assistant Vice President of Research Administration	4/28/2017	Closed
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	2. Not All Grant Expenses Were Charged Accurately The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.	High	2.2.c. Implement a follow-up process with the grantees for all grants on a periodic basis to ensure that all expenses are being charged correctly and establish an escalation procedure to notify appropriate personnel to ensure timely submission of expenses, supporting documentation, and the completed AFR.	OGC will implement additional processes specifically for the FDC award and, where needed, additional TCOM awards through quarterly meetings to review award status and expenditures. The meetings and subsequent follow up will include escalation to management, as needed, to ensure proper grant oversight. Other grants will follow standard procedures of PIM meeting schedule, expenditure review and trainings.	LeAnn Forsberg, Assistant Vice President of Research Administration	5/31/2017	Closed

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Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>2. Not All Grant Expenses Were Charged Accurately</p> <p>The THECB FDC grant expenditures were not always recorded accurately prior to the FDC grant Annual Financial Report (AFR) being submitted to the THECB. After the submission of the AFR to the THECB, the management of the FDC determined that \$8,364.32 in expenses charged to the grant were unallowable expenses, and \$8,730.55 in expenses charged to local/discretionary accounts were allowable expenses that could be funded by the grant. Internal Audit reviewed both the unallowable and allowable expenses.</p>	High	2.3.a. Commit additional resources in TCOM and establish a transfer procedure in which personnel creates a journal worksheet with the cost transfer form, which is then routed to the OGCM for review and approval. Once it is approved, the OGCM will send the documentation to the UNT System Controller's office for posting to the General Ledger through a journal entry.	The Chief Financial Officer and the Dean of TCOM have committed to providing additional resources in TCOM by creating a new position embedded in TCOM to oversee business/accounting activity to ensure any financial reports are done correctly and timely. Additionally, a transfer procedure will be established in which personnel creates a journal worksheet with the cost transfer form to be routed to the OGCM for review & approval and posted by the Controller's Office.	Gregory Anderson, Chief Financial Officer and Don Peska, Dean of TCOM	9/30/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>3. Monitoring and Tracking of Grant Expenditures Was Insufficient</p> <p>The preparation of the FDC grant AFR was not performed in adherence with the FDC State Grant Agreement. The FDC grant AFR was not always supported by the sufficient level of documentation required to ensure accurate financial reporting, resulting in a delayed and inaccurate submission of the AFR.</p>	High	3.1.a. Establish a formal system (i.e. creating a spreadsheet, retaining invoices and receipts) of tracking and monitoring expenses throughout the appropriation year to be able to provide sufficient supporting documentation for the creation of the FDC grant AFR.	The Director of the Faculty Development Center will establish a formal system to track and monitor expenses as recommended.	Cynthia Passmore, Director of Faculty Development Center	8/31/2017	Open
Internal (Co-Sourced)	PwC	Fiscal Year 2017	Governance and Regulatory Compliance	THECB Faculty Development Center Grant Internal Audit	UNTHSC	<p>3. Monitoring and Tracking of Grant Expenditures Was Insufficient</p> <p>The preparation of the FDC grant AFR was not performed in adherence with the FDC State Grant Agreement. The FDC grant AFR was not always supported by the sufficient level of documentation required to ensure accurate financial reporting, resulting in a delayed and inaccurate submission of the AFR.</p>	High	3.1.b. Perform quarterly reviews, at a minimum, of all expenditures on the FDC grant by reconciling all FDC grant expenses to what has been posted in the system to ensure expenses are appropriately charged to the grant based on the guidelines.	The Director of the Faculty Development Center will perform quarterly reconciliations to ensure FDC expenses are appropriately recorded.	Cynthia Passmore, Director of Faculty Development Center	8/31/2017	Open

Background Report



Committee: Audit

Date Filed: July 7, 2017

Title: UNT System Consolidated Quarterly Compliance Report March 2017 through May 2017

Background:

This report represents the quarterly compliance actions for the University of North Texas System, University of North Texas, University of North Texas Health Science Center and the University of North Texas at Dallas from March 1, 2017 through May 31, 2017. Regular reporting of compliance actions to the UNT System Board of Regents is required by the United States Sentencing Commission's Federal Guidelines §8B2.1(b)(2)(A).

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

Financial Analysis/History:

This is a report item only.

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.08.07 18:19:02 -05'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule: N/A

No action required. Information only. Submitted by:

Steven A. Hill I

UNT System Compliance Officer

Tracy C. Grunig
Digitally signed by Tracy C. Grunig
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Date: 2017.08.08 10:45:56 -05'00'

Chief Audit Executive

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: 2017.08.09 09:44:43 -05'00'

Chancellor

Attachments Filed Electronically:

- UNT System Consolidated Quarterly Compliance Report
March 2017 through May 2017

UNT System Consolidated Quarterly Compliance Report March 2017 through May 2017



Section I. Organizational Actions

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

Section II. Compliance Risks

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

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73(b)(2). Reports include instances of security violations involving UNT System component resources. Three required monthly reports were submitted to DIR this quarter.
- Texas Administrative Code 202.74(b)(2) requires institutions of higher education to introduce information security awareness and inform new employees of information security policies and procedures during the onboarding process. This material is presented to new employees as part of the online onboarding process facilitated by campus Human Resources. Security awareness training was provided to forty-eight (48) new and current employees.
- IT support is provided to UNT System through Information Technology Shared Services (ITSS).

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 provide in-person records management training to records management personnel System-wide. Additionally, they continue to develop online training that is designed to be completed by all applicable Records Management Representatives (RMRs) for UNT System Administration, UNT, and UNT Dallas.
- The Chief Records Management Officer, Director of Institutional Records Management, and Chief Records Management Representative continue to provide technical advice

and guidance to management pertaining to complicated records management and retention questions and situations.

- The Chief Records Management Officer, the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration, UNT, and UNT Dallas.

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

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC has revised its plans to use Captivate instead of using Qualtrics to convert its Compliance Awareness, Ethics PowerPoint training, in addition to other select mandatory compliance training, into web-based training following successful implementation of its Records Management pilot training initiative.

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

Action Taken by Management:

- All dedicated scanners continue to be in use at UNT System organizations.
- Additional I-9 Training originally scheduled for this quarter was rescheduled for next quarter.
- System/Institutional Compliance agreed to continue working with System and campus HR to enhance training attendance and address specific compliance challenges (as applicable).
- UNT System Talent Acquisition, UNT System (HR) Records, and campus Human Resource assets reviewed and presented a significant number of hardcopy Form I-9's to Institutional Records Management for approval prior to disposing of these records in accordance with the UNT System Consolidated Records Retention Schedule.
- 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 has revised its plans to use Captivate instead of using Qualtrics to convert its Compliance Awareness and Ethics PowerPoint training into web-based training following successful implementation of its Records Management pilot training initiative.

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.
- There were no reports received by UNT System during this quarter.



Section I. Organizational Actions

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

Section II. Compliance Risks

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

Action Taken by Management:

- Environmental Risk has instituted an internal mandate that all laboratories will be inspected by RMS staff twice annually. RMS has acquired hardware and is in the midst of acquiring identified inspection software to improve efficiency, communication, documentation, tracking, and professionalism associated with laboratory inspections. The ultimate goal is to institute an enterprise approach and tie inspections into a cohesive Risk Management Information System (RMIS).
- RMS has continued walkthroughs of laboratories with targeted faculty (with an emphasis on Discovery Park), aimed at increasing lab safety awareness and enhancing communication between the groups in a low-stress and educational-type manner.
- An escalation policy addressing recurring inspection type actions has been drafted to enhance the enforcement arm of the environmental, health, and safety inspection program. This policy is scheduled for final university approval during the fourth quarter. Supporting standard operating procedures are currently being outlined.

Action Taken by Institutional Compliance:

- Institutional Compliance continues to attend regular meetings between Risk Management Services and other applicable UNT System and UNT risk partners to assist in resolving any findings and/or impairments identified during inspections as quickly as possible and identifying opportunities to enhance laboratory inspections and follow-up processes and procedures for students and faculty working in these environments.

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

Action Taken by Management:

Emergency Planning & Preparedness and Business Continuity

- Continued efforts are underway to improve the availability of emergency equipment and preparedness. The Environmental Risk section of RMS was involved with the recent full-scale tabletop exercise and will continue to be an integral part of the emergency preparedness process moving forward.
- New software has been identified, funded, and is being acquired to improve hazard communication compliance, efficiency, and correspondence with local first responders relating to hazardous materials incident preparedness.

- The Emergency Operations Center (EOC) initiated seven (7) successful activations this quarter, which resulted in appropriate issuance of notices and crowd monitoring, maintaining situational awareness, social media monitoring, along with appropriate campus camera, radio communications, and weather monitoring.
- Additional Automated External Defibrillator (AED), Cardiopulmonary Resuscitation (CPR), First Aid, Emergency Readiness, and Safety Coordinator training was conducted by the Emergency Operations Center (EOC).
- The following exercises were successfully conducted this quarter: Four (4) Discussion-Based Table-Top Exercises (three (3) Tornado and one (1) Structure Fire; Three (3) Operations-Based Drill Exercises (two (2) Fire and One (1) Tornado: and, One (1) Full-Scale Exercise (Improvised Explosive Device - IED Detonation at Apogee Stadium).
- The structured Continuity of Operations Plans (COOP Roadmap) has been established and identifies the five phases moving forward with the (COOP). Phase 1, which is complete, identified the COOP program and the process moving forward with the program. Phase 2 details needed enhancements and gaps in current plans and is now 50% complete. Consultations with each lead are being administered for plan updates and improvements to current plans. The COOP plan will be established and implemented by December 2017. Following the implementation of the COOP plan, a multi-year exercise strategy will be maintained in order to test, evaluate, and continually improve the plans.

International Risk Management

- RMS has continued to work with UNT System Business Services Support (BSS), UNT International, UNT Internal Audit, and the Office of Research Integrity and Compliance to ensure UNT faculty, staff and students are aware of UNT's System Regulation 08.15000 (Travel Administration Regulation), which requires all faculty, staff and students to register their university related international travel prior to departure (for travel that is outside of Study Abroad/Exchange/Faculty Led Programs).
- Depending on the nature and location of the risk, persons traveling to high risk destinations will receive a country-wide assessment or a site-specific assessment prior to departure.
- Country-wide Risk Assessments provide travelers with a snapshot of the safety conditions within the countries they plan to visit. There are nine (9) different risk indicators used to determine an overall risk/safety rating for a particular country. The nine (9) risk indicators used are crime; terrorism; conflict; political instability; infrastructure; kidnapping; corruption; civil unrest; and, cyber issues. Along with a written explanation, each indicator is ranked to be low, moderate, high, or extreme. These indicators are used to determine the overall risk for a particular country.
- RMS successfully responded based on two (2) incidents that occurred in Manchester, England on May 22, 2017, and London on May 25, 2017. The university had travelers in those locations during both incidents. RMS gathered critical safety information/facts and checked in with all travelers to inquire about their safety. All registered staff, students, and guest checked in as safe.

Action Taken by Institutional Compliance:

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

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

Action Taken by Management:

- Continued efforts to enhance the hazardous waste program is a high-priority. An internal assessment of the program was conducted and a number of improvements are required. As such, a waste management plan is being developed and the draft plan is 90% complete. This plan is being drafted to address these improvements and outline a path to compliance.

Action Taken by Institutional Compliance:

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

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

Action Taken by Management and Institutional Compliance:

- Due to the State hiring freeze, an exemption request was coordinated to expedite the hiring of a full-time Radiation Safety Officer (RSO) prior to the end of the hiring freeze. To ensure continuity, the Director of Environmental Risk has taken on the additional duty as RSO until this position is permanently filled. Efforts continue to enhance work efficiency such as the development of online radiation safety training.
- From a pool of nearly thirty (30) candidates, six (6) were selected to participate in phone interviews with RMS. Four (4) candidates were selected for on-campus interviews next quarter. The Radiation Safety Committee, in addition to select faculty and staff members, will be involved with the on-campus interview process.
- Institutional Compliance regularly meets with Risk Management Services and other applicable UNT System and UNT risk partners to ensure the program is in compliance with state radiation safety regulations.

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

Action Taken by Management and Institutional Compliance:

- The Office of Research Integrity & Compliance (ORI&C) has completed its annual Financial Conflict of Interest (FCOI) self-disclosure process for FY 2017. There was substantial improvement in terms of timeliness as a result of targeted changes implemented. ORI&C reviewed the positive disclosures and will continue to monitor self-reported changes to the original disclosures within the required thirty (30) days.
- Institutional Compliance is working with ORI&C, division management, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of research conflict of interest processes, practices, and procedures.

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

Action Taken by Management and Institutional Compliance:

- OGCA obtained completed effort certifications for the most recent reporting period which ended on December 31, 2016.

- Institutional Compliance is working with the Office of Grants & Contracts Administration, division management, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of time and effort processes, practices, and procedures.

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

Action Taken by Management and Institutional Compliance:

- Institutional Compliance is working with the Office of Grants & Contracts Administration, division management, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of grants management processes, practices, and procedures.

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

Action Taken by Management:

- The ITSS information security office submits security reports each month to the Texas Department of Information Resources (DIR) in fulfillment of Texas Administrative Code (TAC) 202.73(b)(2). 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 two hundred and forty-eight (1,248) new and current employees.
- IT support is provided to UNT either directly or indirectly via UNT System IT Shared Services, UNT University Information Technology, and distributed IT staff in the various Colleges and Departments.

Action Taken by System and/or Institutional Compliance:

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

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

Action Taken by Management and Institutional Compliance:

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

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

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

- The UNT Compliance Officer (and Chief Records Management Officer), the Director of Institutional Records Management, and the Chief Records Management Representative continue to provide in-person records management training to records management personnel System-wide. Additionally, they continue to develop online training that is designed to be completed by all applicable Records Management Representatives (RMRs) for UNT System Administration, UNT, and UNT Dallas.
- The Chief Records Management Officer, Director of Institutional Records Management, and Chief Records Management Representative continue to provide technical advice and guidance to management pertaining to complicated records management and retention questions and situations.
- The Chief Records Management Officer, the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce the Records Management Representative (RMR) network for UNT System Administration, UNT, and UNT Dallas.

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

Action Taken by Management and Institutional Compliance:

- RMS continues to address campus procedures, screening of program staff, training for all individuals involved in activities that include minors; monitoring and supervision of the programs; risk assessments; communication to the campus and community; responding to incidents; and, administrative practices.
- RMS continues to focus on improving the communication of the policy and procedures to employees, students, and the community who participate in any Program For Minors activity. Internal processes have been developed to enhance the existing program and ensure a focus remains on continual oversight and improvement.

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

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC has revised its plans to use Captivate instead of using Qualtrics to convert its Compliance Awareness, Ethics PowerPoint training, in addition to other select mandatory compliance training, into web-based training following successful implementation of its Records Management pilot training initiative.

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

- All dedicated scanners continue to be in use at UNT System organizations.
- Additional I-9 Training originally scheduled for this quarter was rescheduled for next quarter.

- System/Institutional Compliance agreed to continue working with System and campus HR to enhance training attendance and address specific compliance challenges (as applicable).
- UNT System Talent Acquisition, UNT System (HR) Records, and campus Human Resource assets reviewed and presented a significant number of hardcopy Form I-9's to Institutional Records Management for approval prior to disposing of these records in accordance with the UNT System Consolidated Records Retention Schedule.
- UNT System Talent Acquisition and campus Human Resources continue to review and monitor the efficiency and effectiveness of this revised process.

Action Taken by System and/or Institutional Compliance:

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

High-Risk #14: Individual Conflict of Interest (Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- S/IC is in communication with a peer institution with the intent to review their program and then develop its own policy to address this risk and reconfigure a portion of its Institutional Compliance Coordinating Committee (ICCC) to develop an Individual Conflict of Interest Committee that will review disclosures from all applicable personnel and develop applicable management plans as necessary.

Section III. Compliance Training

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC has revised its plans to use Captivate instead of using Qualtrics to convert its Compliance Awareness and Ethics PowerPoint training into web-based training following successful implementation of its Records Management pilot training initiative.

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 **one (1) report (via hotline)** received by UNT during this quarter reveals the following breakdown of this complaint:
 - **There was one (1) report received pertaining to an employee management issue.** Institutional Compliance recommended this individual filing the report to consult with their HR representative for guidance in addressing this situation.

Section I. Organizational Actions

The Chief Compliance Officer assumed her role on February 27, 2017 and continues to assess the needs of Governance, Risk and Compliance for the UNTHSC Campus as well as measurements of compliance effectiveness and metrics.

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 (FY)17 risk assessment. The **Third 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 continues to perform internal reviews and provided education for medical billing and documentation audits. As stated last quarter, 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 has finalized the contract with Coding Aid to provide more depth of knowledge, better stability in the process, and access to a higher level of billing/coding education for the providers. The Compliance Specialist continues to provide education to the physicians and staff and continues to monitor issues, questions and concerns. Additionally, a monthly newsletter is provided to all UNT Health staff and administration based on immediate and upcoming concerns in billing and coding. There was a change to the focused Modifier -25 audit because issues found during that audit were found to be more detrimental if not addressed. Therefore the Modifier -25 audit was changed to address billing of J codes (drugs). The Modifier -25 audit will resume once the J code audit is complete. The UNTHSC Billing, Coding and Revenue Cycle Compliance Committee continues to meet monthly. The monthly dashboard has proven to be helpful in monitoring the issues that may arise in revenue and identifying areas that can be supported by finance, compliance and/or internal audit.*

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 Office of Institutional Compliance, Information Technology Services and Property Control continue to meet weekly to discuss progress. A final report was distributed to the President's Cabinet along with supervisors of those on the final list. This strategy reduced the number of laptops to be identified for encryption.

Additionally, Property Control dedicated resources to electronically locate devices using the RFID system. Campus Police has also been identified as a resource to recover laptops reported as unencrypted.

- 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. This process continues and resources are being identified bring this solution to the UNTHSC campus.

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. This has become a part of the Encryption project discussion but resources and additional discussions continue to find the most appropriate solution.

- 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:

- **Full-Time Information Security Officer (ISO)** - The search for a full time ISO commenced in late April-May and 3 candidates were identified. An offer is to be made to the final candidate no later than mid-July. As previously stated, a full time ISO will provide the necessary oversight and regulatory knowledge needed to continue the prevention of any

misuse and/or misconduct of the technology infrastructure. The role will report to the Chief Information Security Officer with a dotted line report to the Chief Compliance Officer.

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

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

Action Taken by Management:

- An 1115 Waiver Steering Committee has been formed and meets on a quarterly basis to discuss any potential compliance issues with CMS and/or the Texas Health and Human Services Commission ("HHSC"). The 1115 Waiver management team also meets with the project leads, the Office of Grants and Contracts, clinical operations personnel and the Offices of Institutional Compliance and Quality and Risk Management on a regular basis to build awareness and discuss potential compliance issues before they arise.
- As part of HHSC's on-going quality control efforts, UNTHSC continues to receive additional information requests from HHSC's contracted auditing firm. Five of six audits are complete with no significant findings. One audit is still in process and may result in the return of monies, the amount of which is undetermined at this time. Management does not believe the financial impact, if any, will be significant. (Update this quarter)

Action Taken by Compliance:

- The Chief Compliance Officer has met with Director for Strategic Alignment and the Clinical Quality Analyst to address any potential concern with the 1115 Waiver program. The program is being monitored to ensure compliance with regulations and guidelines. Additionally, education and training were provided to ensure information submitted for review were accurate.

High Risk #4: Distance Education (Academic Affairs Division) HM

Description: Distance Education is highly regulated by state and federal law. UNTHSC monitors compliance with regulatory requirements.

Action Taken by Management:

- The Distance Education Course Development and Release Procedures Policy addressing distance education (DE) at UNTHSC was approved January 20, 2016. According to that policy, faculty planning to offer DE towards a degree or certificate awarded through the UNTHSC must obtain approval to do so through the University's Distance Education Committee (DEC).
- The UNTHSC will adhere to rules and notification procedures established by the Texas Higher Education Coordinating Board (THECB) for the conduct and approval of distance education including the *THECB Principles of Good Practice for Academic Degree and Certificate Programs and Credit Courses Offered Electronically and Approval of Distance Education, including Off-Campus Course and Programs*.
- The DEC and the Center for Innovative Learning (CIL) work with faculty from the five colleges/schools at UNTHSC to assure that curriculum and instruction provided through distance education are appropriate to the requirements listed above. In addition, course

and instructional activities are required to be appropriately evaluated for educational effectiveness, including assessments of student learning outcomes, student retention, and student satisfaction.

- Access to DE materials is restricted to properly enrolled students who possess a unique login identifier which has been assigned to them by the UNTHSC. Login identifiers shall only be provided to students who have been properly registered and who have been approved to participate in online courses by the respective academic school/program.
 - All requests to deliver DE materials for academic credit must be routed through the CIL for review and ultimately through the DEC for approval.
 - To date, no internal or external audits have been conducted. In February 2016, UNTHSC was approved as an institutional member of the National Council for State Authorization Reciprocity Agreements (NC-SARA).
 - As of November 2016, the DEC has completed review and approval of 90% of DE courses offered online by UNTHSC. The review process is ongoing. (Updated this quarter)

Action Taken by Compliance:

- **The Chief Compliance Officer has no significant updates at this time.**

High-Risk #5: Time and Effort Reporting (Research Grants and Contracts) HM

Description: Time and Effort Reporting certification is required to substantiate salaries and benefits charged to sponsored grants and research by UNTHSC. UNTHSC monitors compliance with regulatory requirements.

Action Taken by Management:

- UNTHSC is working with the Office of General Counsel ("OGC") to address discrepancies in time and effort reporting.
- Obtained approval from UNT System ITSS Governance Board to move forward January 2017 with plans for developing and implementing Phase 3 enhancements to assist with monitoring effort reporting activities. Efficiencies identified in the continuous improvement project with TSI consultants have been incorporated into this project. (updated this quarter)
- OGCM significantly enhanced procedures for monitoring payroll allocation activities within department, centers, and institutes as follows: (updated this quarter)
 - Created new procedures for Post Award to perform an in-depth review and assessment of payroll allocations, cost sharing, and salary cap cost sharing prior to approving an Electronic Payroll Action Request form (ePAR);
 - Created two new reports for OGCM Compliance to perform an in-depth review of payroll data prior to distributing effort reports for certification including (1) a Sponsor Commitment% vs Payroll% Report, and (2) an Overcommitted Report.
 - Established a distribution and certification schedule that meets the UNT System requirement to complete the semester process, including any necessary payroll reallocations, within 90 days after the end of the semester.

- o Established a post certification audit requirement to monitor departments, centers, and institutes on procedures for payroll allocation methodologies and practices, and proof of work documentation. Discussions are being scheduled to determine specific criteria and responsibility for performing and tracking the audits.

Action Taken by Compliance:

- The Chief Compliance Officer met with the AVP of OGCM to review and understand the Time and Effort Reporting system and provided feedback. Additionally, the Chief Compliance Officer worked closely the Office of General Counsel and outside Counsel to ensure the OGCM Certification for the semester was clearly defined and then retained by the Office of Institutional Compliance and Internal Audit.

High-Risk #6: Fair Pay Practices (Human Resources) – HM

Description: The Department of Labor's rules and regulations that govern overtime for non-exempt employees were set to change. UNTHSC will review policies and procedures and re-classify employees in order to comply with the changes, when effective. (Note: DOL changes were delayed and HR is monitoring further developments)

Action Taken by Management:

- Policies are posted on the intranet and accessible to any employee. System HR monitors federal and state changes in laws, regulations, and guidelines, and revises or formulates policies and procedures intended to insure that our system of internal control appropriately limits exposure from failure to comply. System HR is responsible to develop, deliver or coordinate training and informational materials for use by our own employees, and all other campus employees whose duties require them to process human resource transactions. Such materials include but are not limited to – Daily News postings, email notifications, web site postings, posted announcements, and initiating specific changes to be made to official policy manuals as approved by the Administration. Institutional training is conducted for all new employees. Employees are required by Chapter 21, Sec. 21.010, Texas Labor Code to complete EO Training no later than thirty days after initial hire and bi-annually thereafter. An institutional database is maintained and employees are notified if they become non-compliant. Every effort is made to bring employees into compliance. Any employee who needs clarification or additional information can make an appointment to talk to the EO Office and receive answers to their questions. New Employee Orientation Attendance was 71. (updated this quarter)

Action Taken by Compliance:

- **The Chief Compliance Officer has no significant updates at this time.**

High-Risk #7: Contract Administration (Finance) – HH

Description: The Contracts Office manages and monitors the contract process to confirm that contracts are appropriately drafted, routed and that payments due are received or payments owed are processed as required under the terms of the agreements.

Action Taken by Management:

- Monitored contracts to ensure each is executed in compliance with contract administration rules and regulations.
- Provided one-on-one training sessions for departments with specialized contracts.

- Posted an Expiring UNTHSC Contract report on the UNTHSC Intranet and emailed an Expiring Contracts Notice to Contract Liaisons, department representatives, and department heads with a link to the report.
- Distributed quarterly Contract Liaison Update to contract liaisons, department chairs, and department representatives to communicate contract-related information.

Action Taken by Compliance:

- The Chief Compliance Officer Is working with the Office of Contract Administration to identify a third party resource to properly evaluate the Fair Market Value (FMV) of UNTHSC contracts as needed. The Office of Institutional Compliance is currently working with a vendor to demonstrate their product to decide on a proper solution.

High-Risk #8: Physical Safety on Campus (Operations) – HM

Description: The UNTHSC Police Department, in conjunction with other departments, manages and monitors the campus in order to provide a safe environment for students, visitors and employees.

- The UNT Health Science Center Police Department is staffed by 24 full-time employees and operates 24 hours a day. UNT Health Science Center Police Officers are licensed with the Texas Commission on Law Enforcement as peace officers vested with all powers, privileges and immunities of peace officers in the States of Texas. Each is a police academy graduate who receives at least 40 hours or more of additional training every two years as required by law.
- The UNT Health Science Center Police Department provides comprehensive law enforcement services. Officers routinely patrol the campus by car, bicycle and foot. State criminal laws are enforced, as are administrative and state traffic regulations governing driving and parking restrictions. Officers take police reports when an offense or an incident is reported and criminal cases are filed in court when necessary.
- The UNT Health Science Center Police Department also employs a number of non-licensed personnel to serve as Communications Officers and Public Service Officers (PSOs). Communication Officers are certified through the Texas Commission on Law Enforcement as Telecommunications Operators. They are responsible for answering telephone and walk-up complaints, dispatching calls, monitoring surveillance cameras and alarm systems. PSOs are responsible for providing patients, visitors, and vendors coming to UNT Health Science Center with basic information such as instructions on where to park and directions on how to find campus facilities and personnel. PSOs also issue parking citations, take non-law enforcement reports, assist in covering the communications office, and drive courtesy shuttle vehicles for transporting patients to and from their vehicles to clinic entrances.
- Each Operations web presence contains detailed reference information, including policy and statute where applicable, to stimulate awareness. Compliance is discussed in standing individual team and department meetings.

Action Taken by Compliance:

- **The Chief Compliance Officer has no significant updates at this time.**

Section III. Compliance Training and Additional Monitoring

New Employee Compliance Training: Second Quarter

- Code of Ethics/Standard of Conduct, HIPAA Privacy and Security, Reporting Child Abuse on Campus, Work Place Safety, Title IX Discrimination and Harassment, and Active Shooter training continues to be assigned to new employees timely.

FY2017 Annual Employee Compliance Training:

A Learning Management System (LMS) has been identified for implementation in late summer- early fall to resolve issues of training compliance due to having training on two platforms. NAVEX Global will provide UNTHSC with a LMS solution. WeComply will continue to provide content for the upcoming fiscal year. A solution for Conflict of Interest (COI) training disclosure will be reviewed and implemented to resolve the issue of missed disclosure due to having two forms for institutional and research/finance COI.

Additional Monitoring: Third Quarter

The Office of Institutional Compliance is currently reviewing the Office of Inspector General (OIG) and Department of Justice (DOJ) recommendations for measuring compliance program effectiveness. This also will require a review of our current processes for Governance, Compliance and Risk (GRC) to ensure the compliance program at UNTHSC implements the correct metrics for effectiveness and implements the correct corporate structure for the department.

Section IV. Compliance Reports: Third Quarter

The Chief Compliance Officer at UNTHSC currently receives hotline issues for the campus via Internal Audit. The Office of Institutional Compliance and the Officer of Internal Audit has reviewed the with the vendor the updated iteration of our current hotline for implementation in the upcoming fiscal year. This updated solution will provide synergy effectiveness, analytics and reporting.

FY 2017 Third Quarter Reports: March 2017 – May 2017

- **One** Fraud (Hotline)
Adjunct Associate Professor represents himself as PhD; credentials are inaccurate and misrepresented

Resolved Faculty Affairs has his degree listed as a DrMPH, however according to the UNTHSC Registrar professor received his PhD in 2010, therefore Based on his academic record, he can use the PhD credential to identify his degree obtained.
- **One** Employee Relations (Hotline)
Director treats the females in the department like they are beneath him and should be submissive to his instruction. He speaks to them in a manner in which causes them to become upset and even cry.

Resolved: Interviews with physicians, supervisor and staff to discuss mannerism and demeanor of director. Director has not displayed this behavior nor has it been observed. Person is new to role; additionally significant changes to schedules were made to maximize revenue potential which have caused staff to become irate and upset. Director was counseled and retaliation policy reviewed.

Section I. Organizational Actions

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

Section II. Compliance Risks

High-Risk #1: Emergency Planning & Preparedness and Business Continuity (Interim UNT Dallas Police Chief and UNT Risk Management Services, as applicable)

Action Taken by Management and System Compliance:

- The Interim UNT Dallas Chief of Police in coordination with UNT Risk Management Services have coordinated a table-top exercise involving the university's Campus Emergency Management and Recovery Team (CEMART) and President's Cabinet in a severe weather threat (Tornado involving the new residence hall) for the next quarter.
- The Interim UNT Dallas Chief of Police in coordination with UNT Risk Management Services and other System and campus level management are actively involved in filling the Risk Manager position for UNT Dallas. The filling of this position will be instrumental in advancing UNT Dallas' efforts to enhance emergency planning & preparedness and business continuity processes and procedures.
- The Interim UNT Dallas Chief of Police continues to conduct campus level emergency planning & preparedness training for UNT Dallas personnel.
- System and Institutional Compliance continue to meet regularly with the Interim UNT Dallas Chief of Police and UNT Risk Management Services as applicable to identify opportunities to enhance emergency planning & preparedness and business continuity processes and procedures at UNT Dallas.

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(b)(2). 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 forty-two (142) new and current employees.
- IT support is provided to UNT Dallas through Campus Technology Support Services.

Action Taken by System and/or Institutional Compliance:

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

High-Risk #3: Grants Management (UNT Dallas Grants Writer & Administrator and UNT's Office of Grants & Contract Administration, as applicable)

Action Taken by Management and System/Institutional Compliance:

- System and Institutional Compliance are working with UNT Dallas division management, UNT's Office of Grants & Contracts Administration, and other UNT System and campus risk partners to discuss opportunities that will enhance the effectiveness of grants management processes, practices, and procedures.

High-Risk #4: Having policies, procedures, and/or practices in place that may not provide protection of minors participating in UNT Dallas related activities (Interim UNT Dallas Police Chief, UNT Risk Management Services, and Institutional Compliance)

Action Taken by Management and System/Institutional Compliance:

- UNT Risk Management Services (RMS) continues to make the 3rd party web based Child Molestation Awareness Training available to UNT Dallas employees requiring this training. The Interim UNT Dallas Police Chief has ensured his officers were trained on minors (17 years of age and younger) must be accompanied by an adult while on campus.
- RMS, UNT Dallas management, and System/Institutional Compliance continue to address campus procedures; screening of program staff; training for all individuals involved in activities that include minors; monitoring and supervision of the programs; risk assessments; communication to the campus and community; responding to incidents; and, administrative practices.
- RMS, UNT Dallas management, and System/Institutional Compliance continue to focus on improving the communication of the policy and procedures to employees, students, and the community who participate in any Program For Minors activity.

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 provide in-person records management training to records management personnel System-wide. Additionally, they continue to develop online training that is designed to be completed by all applicable Records Management Representatives (RMRs) for UNT System Administration, UNT, and UNT Dallas.
- The Chief Records Management Officer, Director of Institutional Records Management, and Chief Records Management Representative continue to provide technical advice and guidance to management pertaining to complicated records management and retention questions and situations.
- The Chief Records Management Officer, the Director of Institutional Records Management, and the Chief Records Management Representative continue to reinforce

the Records Management Representative (RMR) network for UNT System Administration, UNT, and UNT Dallas.

High-Risk #6: Required Compliance Related Training (Office of Institutional Compliance)

Action Taken by Management and/or System/Institutional Compliance

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC has revised its plans to use Captivate instead of using Qualtrics to convert its Compliance Awareness, Ethics PowerPoint training, in addition to other select mandatory compliance training, into web-based training following successful implementation of its Records Management pilot training initiative.

Section III. Compliance Training

- System/Institutional Compliance (S/IC) has revised its Compliance Awareness Training that is designed for UNT System Administration, UNT, and UNT Dallas employees to complete. S/IC has revised its plans to use Captivate instead of using Qualtrics to convert its Compliance Awareness and Ethics PowerPoint training into web-based training following successful implementation of its Records Management pilot training initiative.

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 **three (3) reports (via hotline)** received by UNT Dallas during this quarter reveals the following breakdown of the complaint:
- **Three reports were received pertaining to concerns about the UNT Dallas counseling clinic.** Internal Audit is conducting an audit to address one of the three reports received and the counseling clinic is closed pending the results of that audit. System/Institutional Compliance discussed these reports with the UNTD President and the UNTD Provost reviewed and addressed the allegations raised in the other two reports.



MINUTES

BOARD OF REGENTS Finance and Facilities Committee May 18-19, 2017

Thursday, May 18, 2017

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System convened on Thursday, May 18, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

There being a quorum present, the meeting was called to order by Committee Chairman, Regent Rusty Reid, at 11:34 a.m.

The minutes of the February 23-24, 2017 and May 1, 2017 Finance and Facilities Committee meetings were approved on a 4-0 vote following a motion by Regent Glen Whitley seconded by Regent Don Potts.

James Maguire, UNTS Vice Chancellor for Facilities Planning and Construction, briefed the Committee on the **UNTHSC Campus Master Plan Update**.

Chair Reid introduced Brad Scott, Risk Management at UNT, Scotie Selman, Director of Risk Management Services at UNT, and Matt Moncus, Safety Director at the UNT Health Science Center, who briefed the Board on **Emergency Planning, Readiness, and Continuity of Operations**.

FY16 Consolidated Annual Financial Report Highlights were presented by Aaron LeMay, UNT System Associate Vice Chancellor and Controller.

Janet Waldron, UNT System Vice Chancellor for Finance, discussed Budget to Actual Performance from the **Quarterly Operations Report**, and Kerry Romine, UNT System Senior Financial Analyst, commented on the Gift Report from the same document.

There being no further business, the Finance and Facilities Committee meeting recessed at 12:37 p.m. until Friday, May 19 with an anticipated convening of 9:45 a.m., as noted on the agenda.

Friday, May 19, 2017

The Finance and Facilities Committee of the Board of Regents of the University of North Texas System reconvened on Friday May 19, 2017 in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following committee members in attendance: Regents Don Potts, Rusty Reid, Glen Whitley, and Laura Wright.

There being a quorum present the meeting was called to order by Committee Chair Reid at 9:13 a.m.

Chair Reid noted that the Committee had eight action items to consider. Associate Vice Chancellor James Mauldin presented the first action item.

18. UNTS Approval of Broker/Dealer List for Fiscal Year 2018

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

The next action item was also presented by James Mauldin.

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

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

The next action item related to the investment of System funds and was presented by James Mauldin.

20. UNTS Approval of Amended Regulation 08.2000, Investment of System Funds

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.

Vice Chancellor James Maguire presented the next two action items related to amendment of the UNTS FY17 Capital Improvement Plan.

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

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.

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

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

The next action item related to a proposed agreement to administer UNT Athletics multi-media rights and was presented by UNT President Neal Smatresk.

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

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

The next action item was presented by UNT Health Science Center Chief Financial Officer Greg Anderson.

24. UNTHSC Delegation of Authority to Extend Agreement with Improving Enterprises

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

Greg Anderson also presented the last action item for the Committee's consideration.

25. UNTHSC Authorization to Serve on Outside Board

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 9:27 a.m.

Submitted By:

Rosemary R. Haggett
Rosemary R. Haggett
Board Secretary

Date: May 25, 2017

Optional Retirement Program (ORP) Improvements

Christopher DeClerk, AVC of Total Rewards, UNT System

Barry Schmitt, SVP, Financial Advisor, CAPTRUST Financial Advisors

John Pickett, SVP, Financial Advisor, CAPTRUST Financial Advisors

UNT System Retirement Plans Overview



Mandatory Participation Plans

Not in Scope

Teacher Retirement System of Texas (TRS)

- Defined benefit plan
- All regular faculty and staff automatically enrolled
- Contribution: 7.7% Employee, 6.8% Employer
- Managed by TRS

In Scope

Optional Retirement Plan (ORP)

- Defined 403(b) contribution plan
- Eligible based on job, irrevocable election
- Contribution: 6.65% Employee and 6.6% Employer (8.5% pre-9/1/95 grandfathered)
- Select one of four vendors
- Shared management model between UNT System and vendors

Optional Participation Plans

Maybe in Scope

TexaSaver

- Defined 457 contribution plan
- Open to all regular faculty and staff
- No employer match
- Managed by Employee Retirement System (ERS)

In Scope

Tax Sheltered Annuity (TSA)

- Defined 403(b) contribution plan
- Open to all regular faculty and staff
- No employer match
- Select one of four vendors (mirrors ORP)
- Shared management model between UNT System and vendors

The UNT System is undertaking this project to benefit our employees, former employees, and retirees by:

- Providing the best plans we can offer
- Evaluating and potentially renegotiate vendor and fund fees
- Improving fund offerings
- Enhancing and broaden educational offerings
- Improving plan administration
- Establishing a governance structure of regular reviews and updates

Completed

- Cross-campus committee formed
- Requested and participated in an audit to find opportunities
- implemented preliminary corrections and planned for system, vendor, contract, and EIS updates as part of this project
- \$250,000 annual revenue credits contracted with Fidelity, first quarterly payment to participants was on November 15, 2016
- CAPTRUST Financial Advisors chosen as plan advisor
- Plan review completed

Future

- Future investment lineup finalized
- Lead record-keeper chosen
- Communication program implemented
- Contract updates completed
- EIS programming completed
- Migration process completed
- Long-term governance implemented

- Assets held at each Vendor (total \$515 million as of March 31, 2017 including both the ORP and TSA).
 - Fidelity- \$239 million
 - TIAA- \$205 million
 - VALIC- \$31 million
 - VOYA- \$40 million
- Approximately 20% of the UNTS workforce has chosen the ORP vs. TRS
- The plans offer over 580 different investment options across their platforms
- Asset class gaps and asset class overlap is potentially confusing
- Fees vary significantly ranging from less than .20% of assets to over 1.75% of the assets depending on the vendor and the fund
- Greater industry scrutiny on retirement plans

Future Structure

- Basic plan structure is not under our control and will remain the same
- Developing offerings for 4 styles of investing on both vendor platforms:
 - **Tier 1:** Target Date Funds
 - **Tier 2:** Passively Managed (Index) Core Funds
 - **Tier 3:** Actively Managed Core Funds (covering major asset classes)
 - **Tier 4:** Brokerage option for those who prefer funds/strategies not included in the investment menu

Consolidated Financial Ratios and Debt Measures

Composite Financial Index (CFI) Defined

Four ratios comprise the CFI in order to evaluate financial health and answer several fundamental questions:

Ratio	Analysis	CFI Weight	Benchmark	Formula
Primary Reserve Ratio	Resources sufficient and flexible?	35%	.40x (5 months)	Expendable Net Position*/ Total Expenses
Net Operating Revenues	Living within available resources?	10%	2% - 4%	Operating Inc (Loss) + Net Non-Op Rev (Exp)/ Operating Rev + Non-Op Rev
Return on Net Position	Asset performance and management support the strategic direction?	20%	3%	Change in Net Position/ Total Beginning of Year Net Position
Viability Ratio	Financial resources, including debt, managed strategically?	35%	1.25x	Expendable Net Position*/ Outstanding Debt

*excluding net position restricted for capital investments

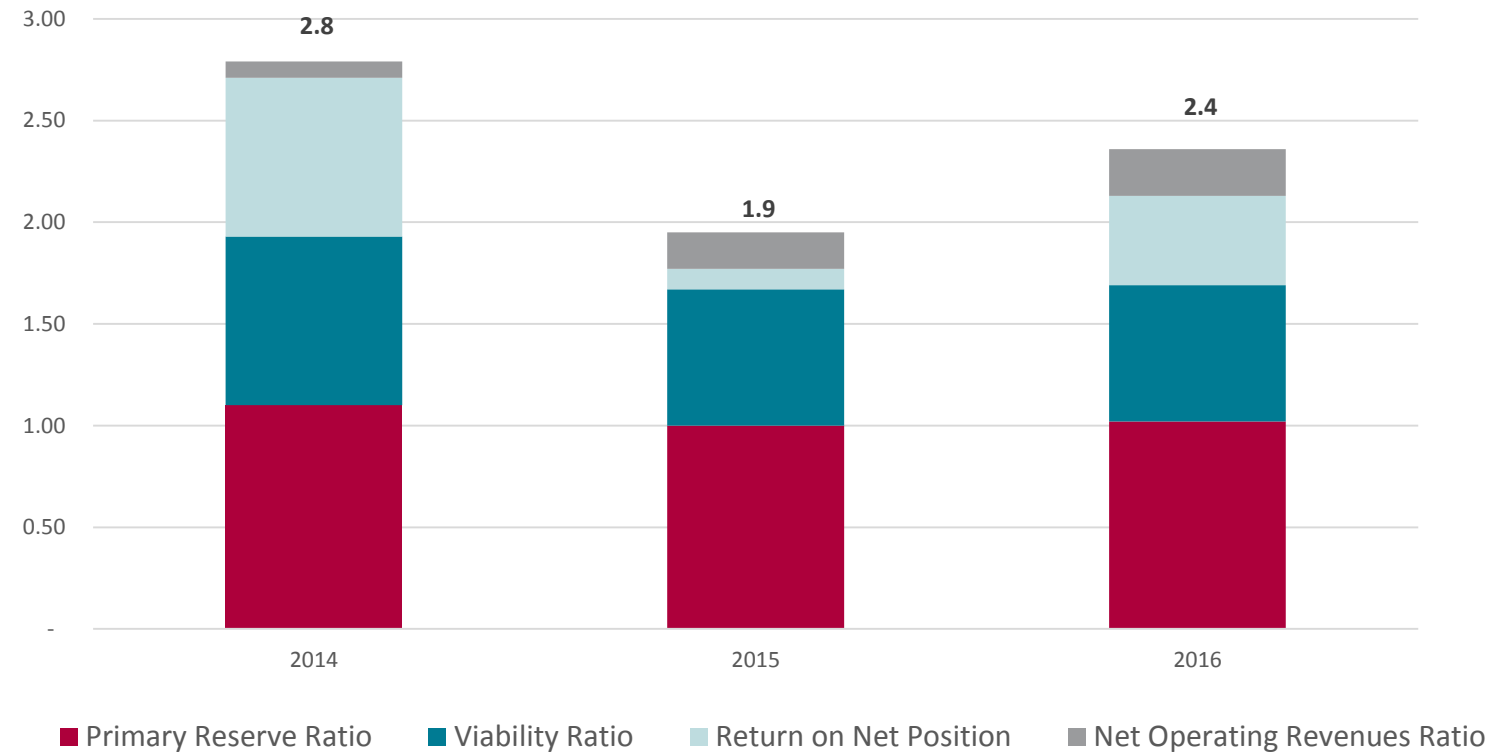
CFI Trend is Generally Positive

	<i>Resources Flexibility and Sufficiency</i>	<i>Operating Results</i>	<i>Financial Asset Performance</i>	<i>Debt Management</i>	
<i>Overall Financial Health</i> →	Primary Reserve Ratio	Net Operating Revenues	Return on Net Position	Viability Ratio	→ Composite Financial Index
	<i>.40x</i>	<i>2% - 4%</i>	<i>3%</i>	<i>1.25x</i>	<i>Score</i>
Consolidated*					
FY14	.42x	0.55%	7.80%	.99x	2.8
FY15 (ex. GASB 68)	.38x	1.23%	1.01%	.80x	1.9
FY16 (ex. GASB 68)	.39x	1.62%	4.41%	.80x	2.4
FY15 (inc. GASB 68)	.25x	1.28%	1.21%	.53x	1.4
FY16 (inc. GASB 68)	.27x	1.63%	5.04%	.55x	1.9

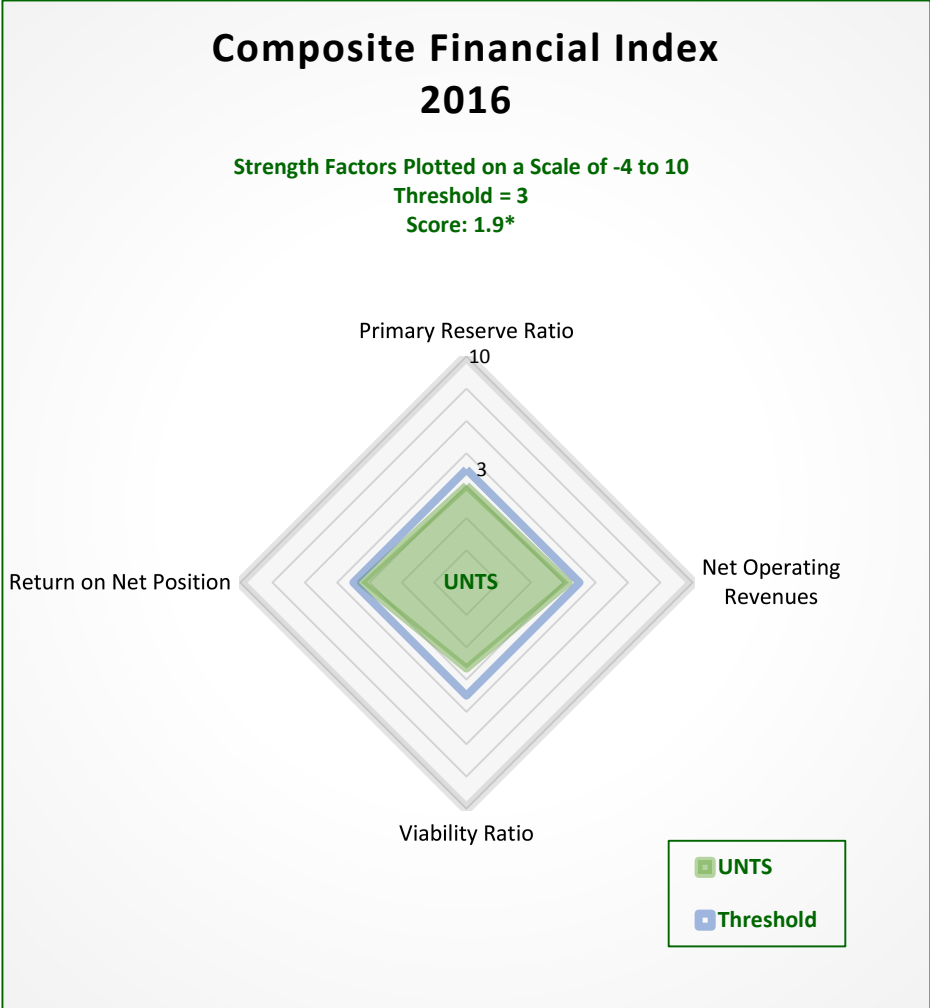
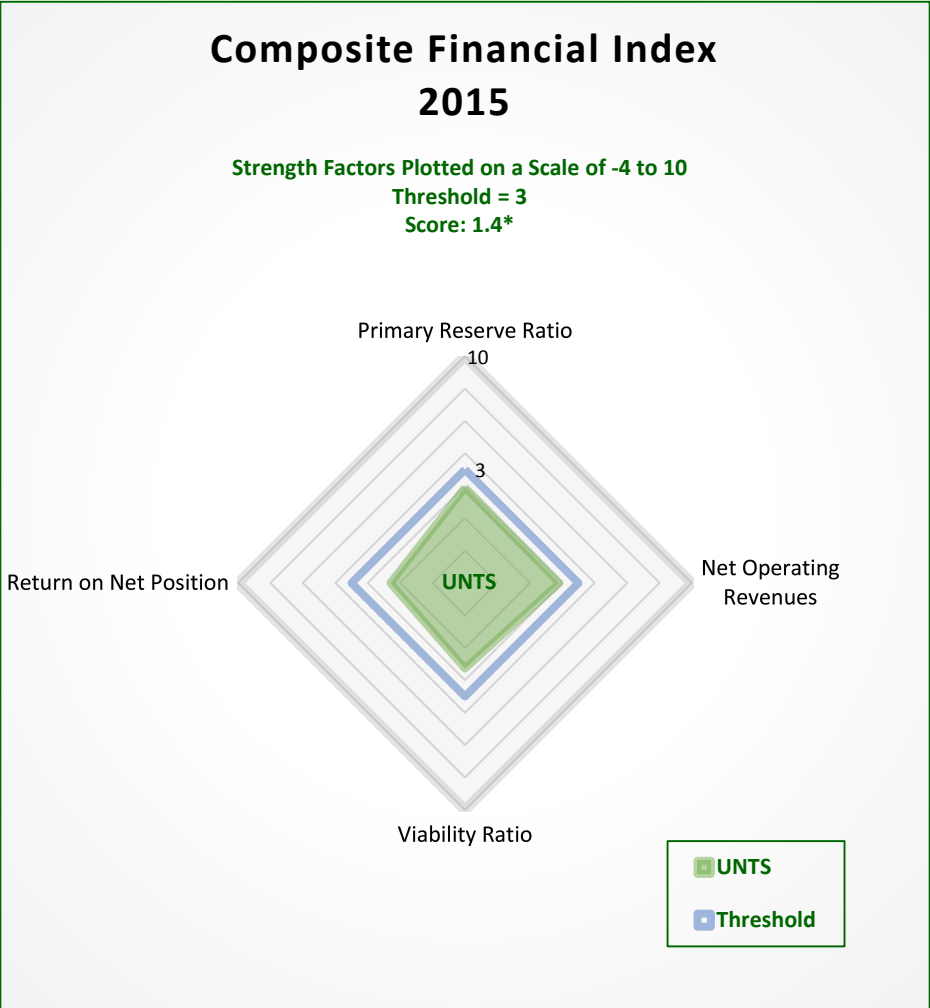
**The Viability Ratio excludes the financial burden of Tuition Revenue Bonds*

Return on Net Position Reflects Market Volatility

- Change in Net Position / Total Net Assets
 - Fluctuations in Investments
 - One-time financial transformation expenditures

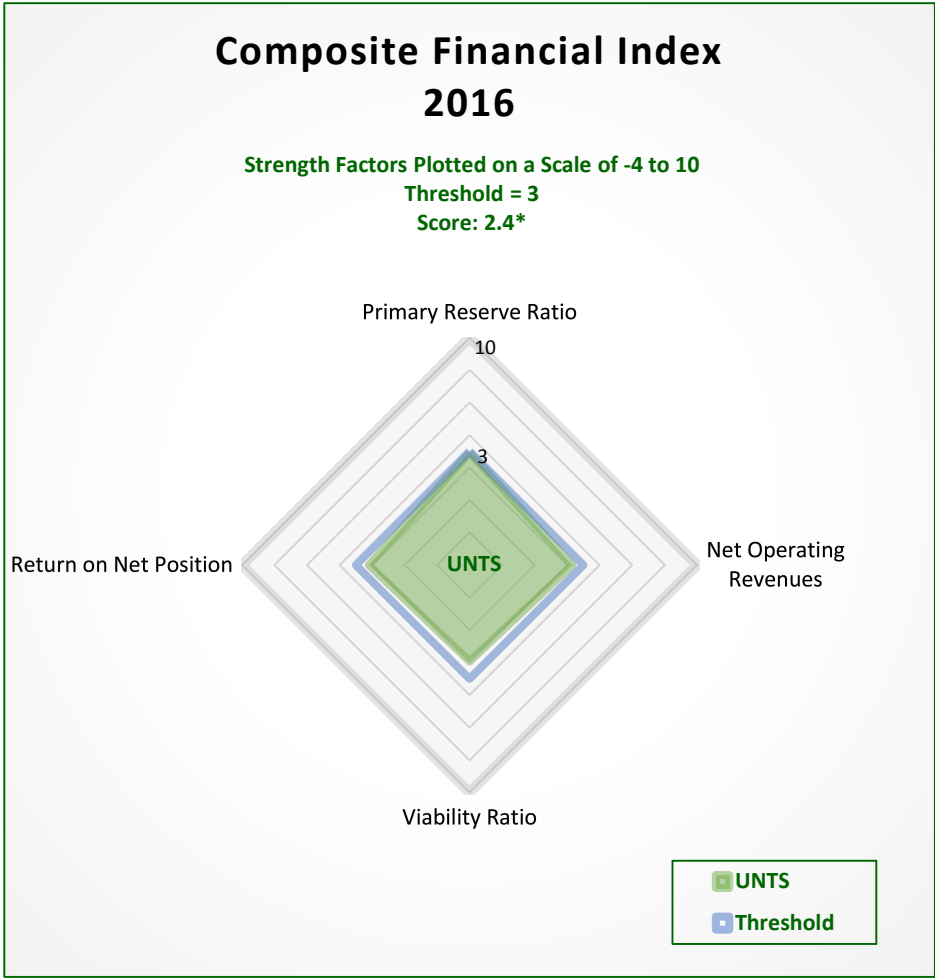
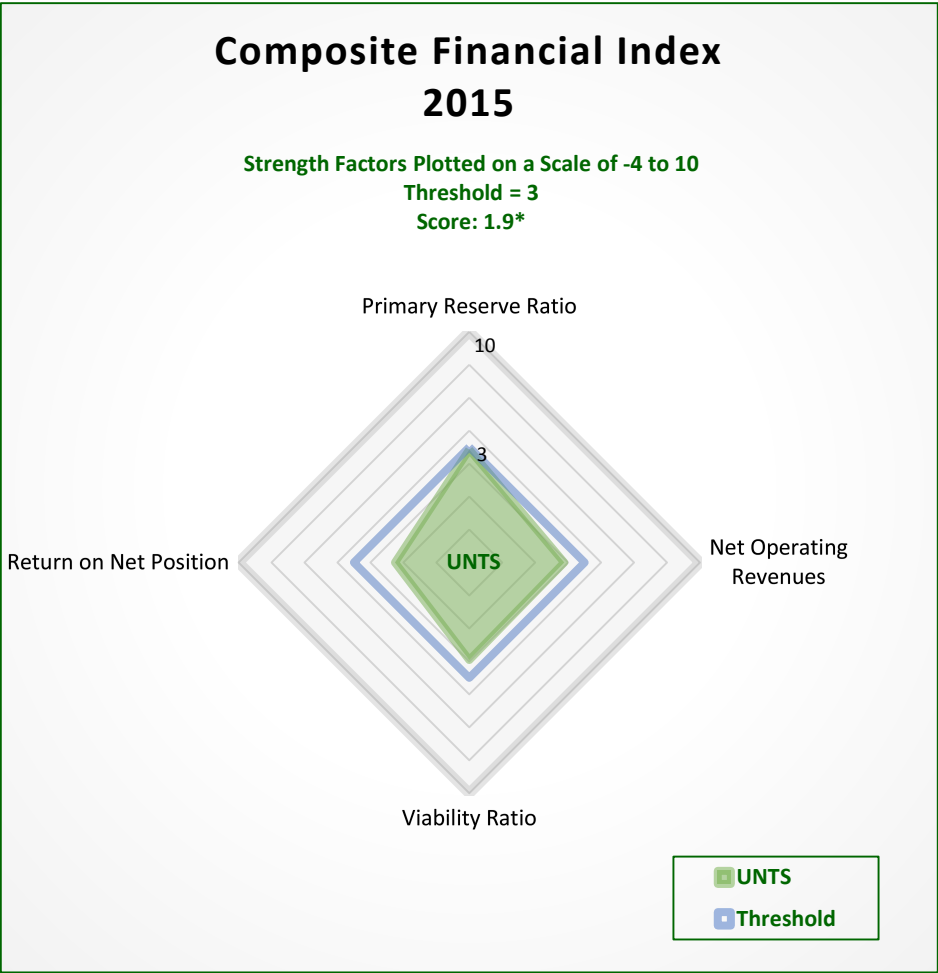


Consolidated UNT System – More Green is Good



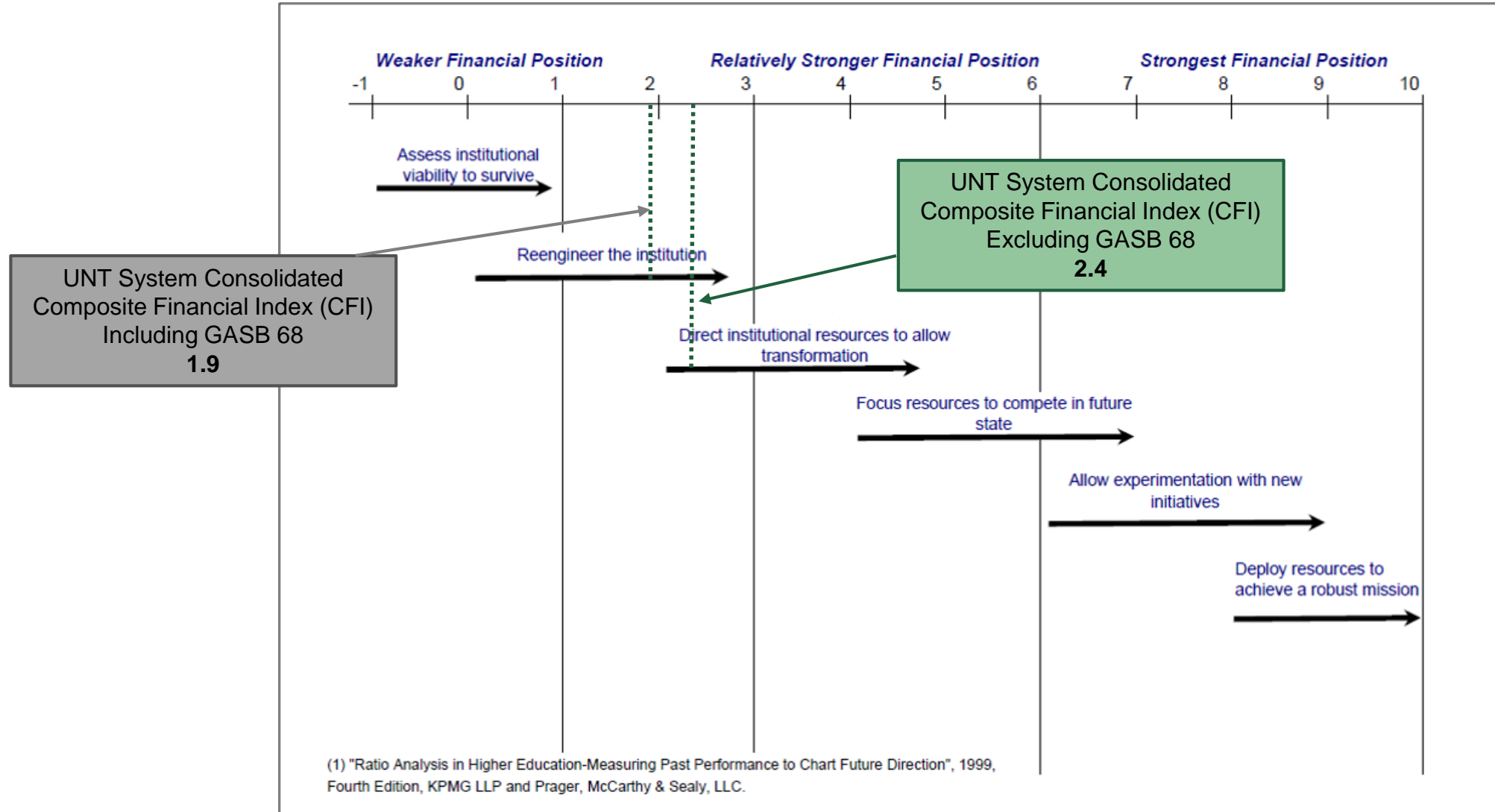
*The CFI Scores above exclude Tuition Revenue Bond principal and includes the effects of GASB 68.

Consolidated UNT System (excluding the effect of GASB 68)



*The CFI Scores above exclude Tuition Revenue Bond principal as well as the effect of GASB 68.

Transformational Scale – Fiscal Year 2016



Credit Quality Viewed as Stable

Strengths

- Regional demographics
- Improving financial trends
- Strong financial support from the state of Texas

What could improve UNTS' Creditworthiness

- Increases in financial reserves
- Multi-year improvements in margins and cash flow
- Expansion of research activity with revenue diversification
- Expansion of national reputation

Weaknesses

- Increasing debt burden
- Peer institution comparables:
 - Less cash and investments
 - Less gift income
- Large net pension liability – reported \$118MM 8/31/2016

What could diminish UNTS' Creditworthiness

- Decreases in state support
- Increased leverage beyond current plans
- Trend of weaker financial performance
- Material reductions in cash and investments

UNTS in Good Company



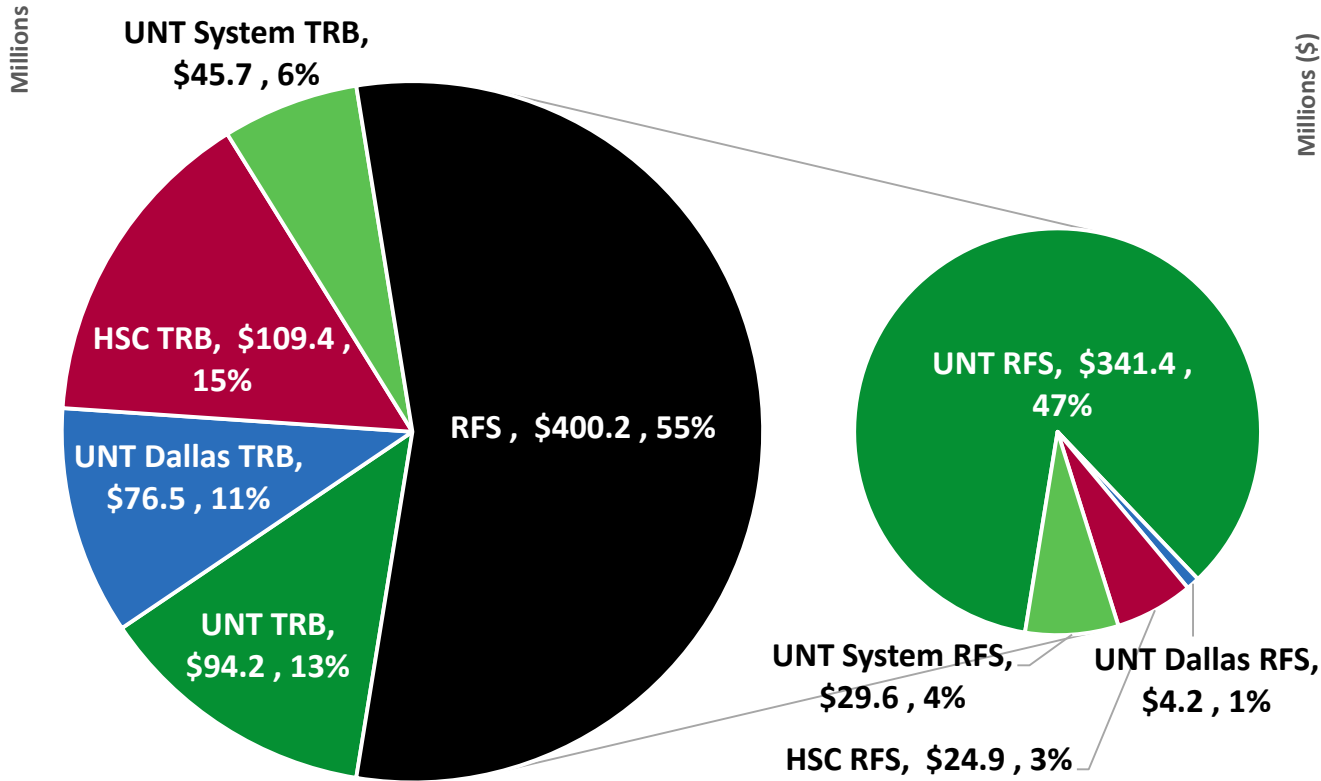
UT System		UNT System		Texas State System		Midwestern State			
A&M System	Texas Tech System	U. Houston System		TWU	SFA				
Aaa/AAA	Aa1/AA+	Aa2/AA	Aa3/AA-	A1/A+	A2/A	A3/A-	Baa1/BBB+	Baa2/BBB	Baa3/BBB-

OU

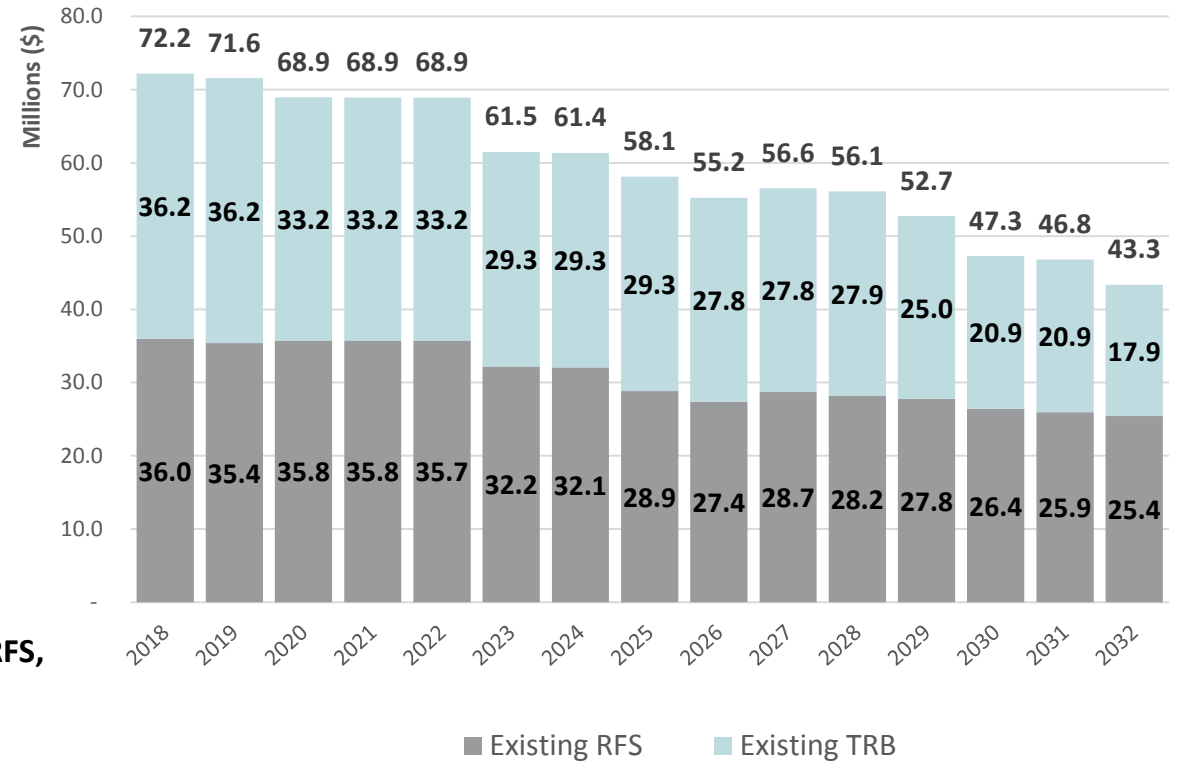
- The average cost of a one rating category differential, in the Municipal Market, was 15 basis points over the past five years
- For the 2017A&B Bonds, 15 basis points would have increased debt service an estimated \$5.4 million or an average of \$400,000 in the next ten years
- Historically, credit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

Majority of Existing Debt is RFS

UNTS System - July 27, 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 **\$285MM** 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)

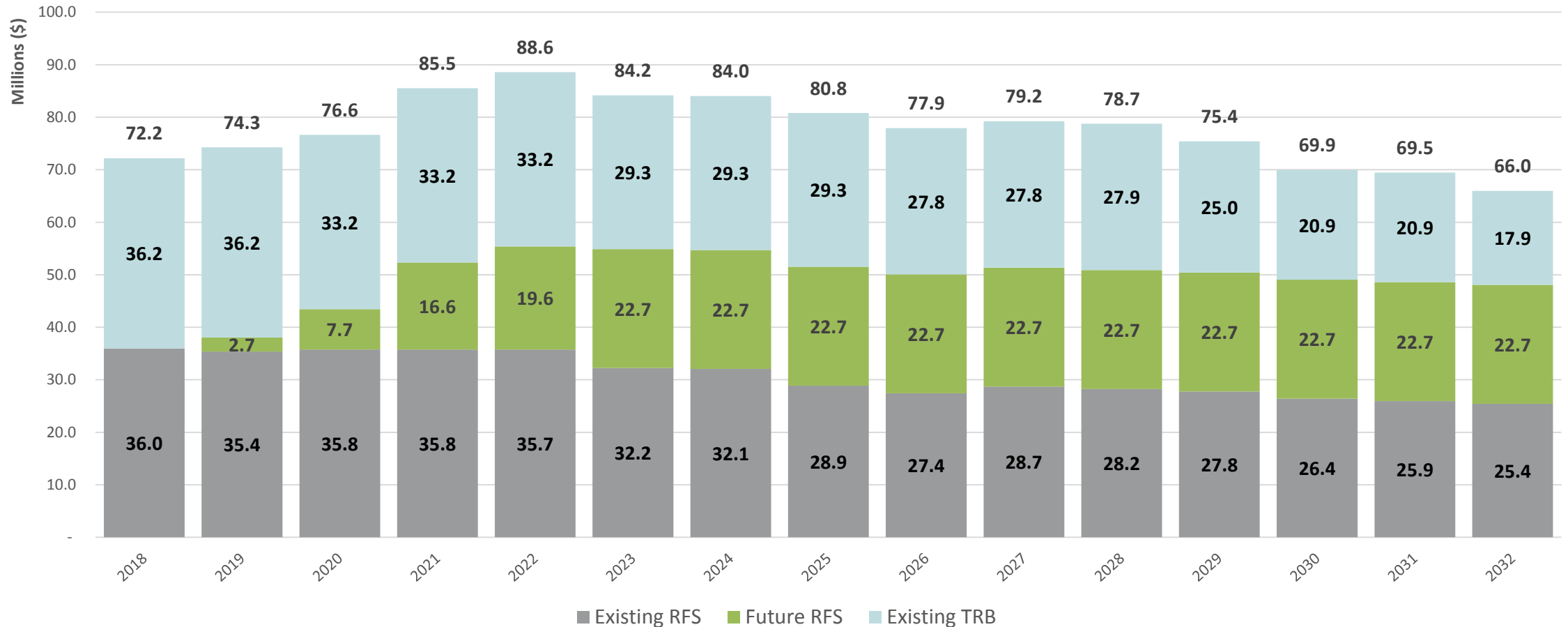
Type of Debt	FY17	FY18	FY19	FY20	FY21
Existing Bonds	\$ 400,186,039	\$ 381,127,035	\$ 362,035,000	\$ 341,945,000	\$ 321,165,000
CP	32,875,737	112,400,000	153,180,000	58,130,000	37,750,000
FY18 Bonds	-	38,819,000	38,283,089	37,717,702	37,121,219
FY19 Bonds	-	-	72,870,000	71,864,001	70,802,673
FY20 Bonds	-	-	-	129,300,000	127,514,963
FY21 Bonds	-	-	-	-	44,570,000
Total Debt	\$ 433,061,776	\$ 532,346,035	\$ 626,368,089	\$ 638,956,703	\$ 638,923,855
YOY % Change		22.9%	17.7%	2.0%	0.0%

UNTS - 5 Year Debt Balance Forecast (Total Debt)

Type of Debt	FY17	FY18	FY19	FY20	FY21
Existing Bonds	\$ 725,950,000	\$ 683,885,000	\$ 640,995,000	\$ 599,260,000	\$ 556,080,000
CP	32,875,737	112,400,000	153,180,000	58,130,000	37,750,000
FY18 Bonds	-	38,819,000	38,283,089	37,717,702	37,121,219
FY19 Bonds	-	-	72,870,000	71,864,001	70,802,673
FY20 Bonds	-	-	-	129,300,000	127,514,963
FY21 Bonds	-	-	-	-	44,570,000
Total Debt	\$ 758,825,737	\$ 835,104,000	\$ 905,328,089	\$ 896,271,703	\$ 873,838,855
YOY % Change		10.1%	8.4%	-1.0%	-2.5%

RFS Debt Service to Escalate

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



Why Revise the Debt Policy?

- Defined goals
 - Identify and prioritize strategic projects
 - Allocate debt capacity appropriately
 - Optimize credit rating within strategic framework
- More informed decision, earlier in the process
 - Four key ratios – current and five-year projection
 - Presented to Board along with CIP

UNTS Moody's Financial Ratio Comparison to Medians



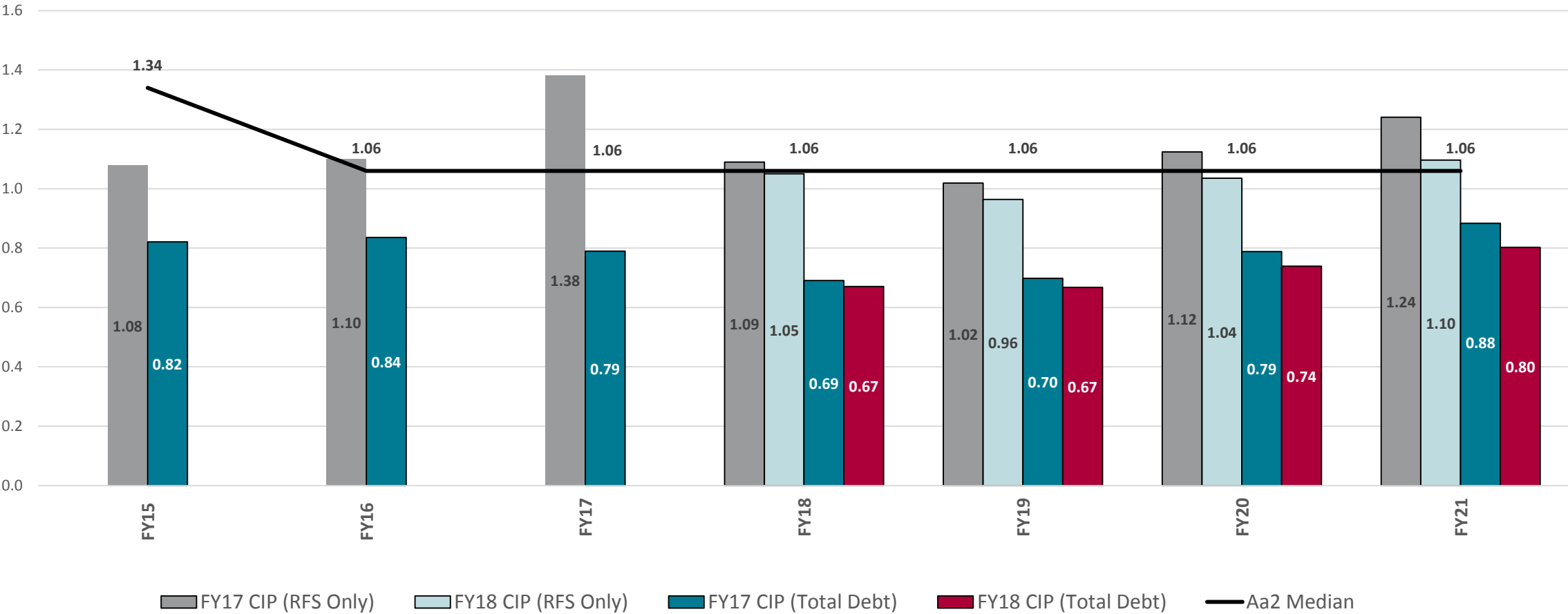
	Aaa Median	Aa1 Median	Aa2 Median	UNT System	Aa3 Median	A1 Median
Credit Ratings (Moody's/S&P/Fitch)				Aa2/NA/AA		
Key Financial Stats						
Total Debt (\$, in Millions)	1,820	1,046	795	539	230	124
Total Cash & Investments (\$, in Millions)	6,518	3,280	1,478	590	450	178
Spendable Cash & Investments (\$, in Millions)	4,978	2,545	992	451	353	140
Market Ratios						
Total FTE Enrollment (#, May be Estimated)	56,725	45,204	35,911	35,354	21,536	11,457
Educational Expenses per Student (\$)	44,991	33,083	26,458	25,673	19,288	16,618
Total Tuition Discount (%)	30	26	33	33	27	33
Capital Ratios						
Spendable Cash & Investments to Debt (\$, in Millions)	2.5	2.2	1.1	0.8	1.2	0.9
Direct Debt per Student	32,085	23,128	22,138	17,643	10,680	10,823
Debt to Operating Revenues	0.5	0.4	0.6	0.6	0.5	0.6
Debt service to Operations	3.7	3.4	4.5	5.6	4.2	4.8
Balance Sheet Ratios						
Spendable Cash & Investments to Operations (\$, in Millions)	1.3	0.9	0.7	0.5	0.7	0.6
Operating Ratios						
Debt Service Coverage	3.65	4.64	2.73	2.5	2.86	2.32
Research Expense to Total Operating Expense (%)	12.5	14.7	10.9	6.4	4.5	1.6
Sources of Revenue						
Tuition & Auxiliaries (% of Total Revenue)	24.9	34.3	39.6	44.4	49.4	54.1
State Appropriation (% of Total Revenue)	14.9	14.4	20.9	29.9	25.2	24.9
Operational and Demographic Data:						
Primary Selectivity (%)	52.4	65.8	70.3	71.6	73.6	75.9
Primary Matriculation (%)	34.9	32.1	33.2	39.6	33.3	33.6

UNTS Moody's Financial Ratio Comparison to Texas Peers

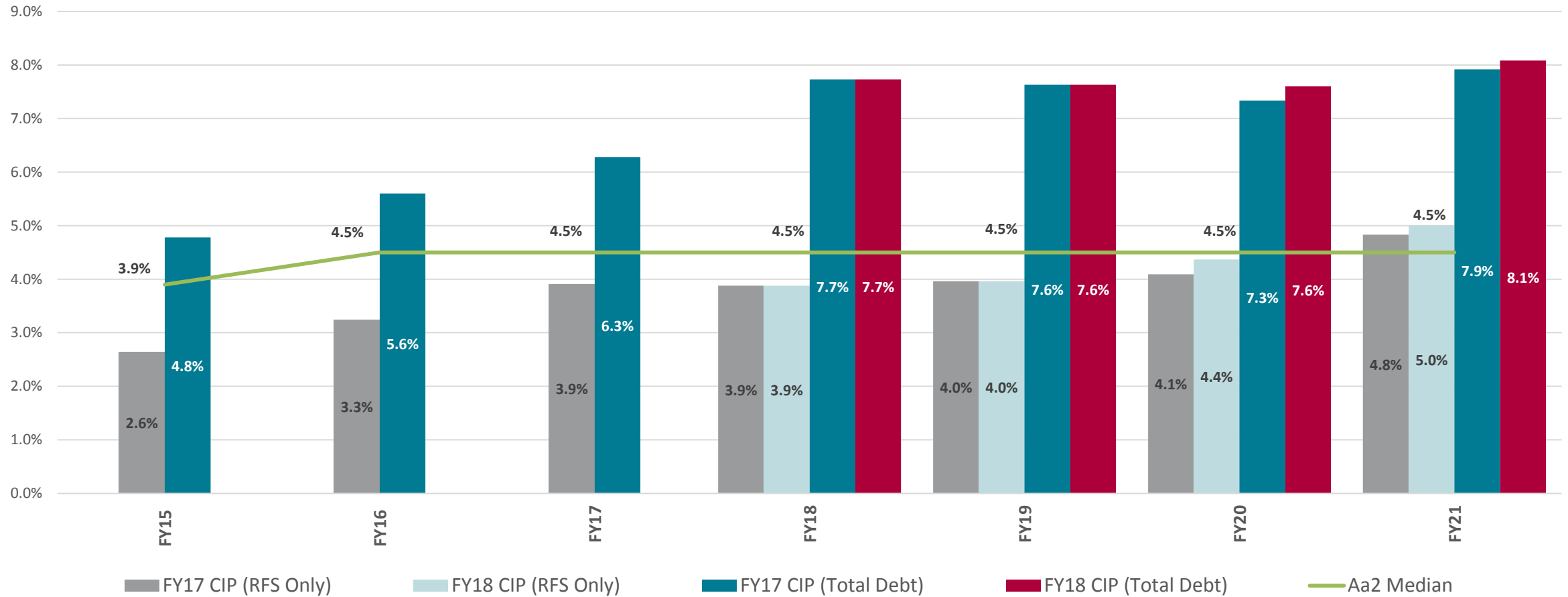


	UNT System	Texas State	Uni. Of Houston Sys.	Texas Tech System	TWU	UT System	Texas A&M System
	Aa2/NA/AA	Aa2/NA/AA	Aa2/AA/NA	Aa1/AA+/AA+	Aa3	Aaa/AAA/AAA	Aaa/AAA/AAA
Credit Ratings (Moody's/S&P/Fitch)							
Key Financial Stats							
Total Debt (\$, in Millions)	539	801	1,063	610	83	9,512	3,768
Total Cash & Investments (\$, in Millions)	590	952	1,288	2,189	298	37,022	13,030
Spendable Cash & Investments (\$, in Millions)	451	827	1,519	875	256	20,331	6,358
Market Ratios							
Total FTE Enrollment (#, May be Estimated)	35,354	63,799	53,456	45,847	12,620	154,657	120,778
Educational Expenses per Student (\$)	25,673	14,837	18,058	29,300	16,987	58,080	26,865
Total Tuition Discount (%)	33	37	29	33	31	36	32
Capital Ratios							
Spendable Cash & Investments to Debt (\$, in Millions)	0.8	1.0	1.4	1.4	3.1	2.1	1.7
Direct Debt per Student	17,643	12,555	19,886	13,305	6,577	61,504	31,198
Debt to Operating Revenues	0.6	0.6	0.8	0.3	0.4	0.5	0.9
Debt service to Operations	5.6	10.9	6.7	3.5	4.1	3.1	7.4
Balance Sheet Ratios							
Spendable Cash & Investments to Operations (\$, in Millions)	0.5	0.7	1.2	0.5	1.4	1.2	1.5
Operating Ratios							
Debt Service Coverage	2.5	1.9	2.4	5.2	3.9	5.2	2.1
Research Expense to Total Operating Expense (%)	6.4	4.8	11.8	11.1	1.7	12.7	18.4
Sources of Revenue							
Tuition & Auxiliaries (% of Total Revenue)	44.4	54.7	52.5	29.5	59.7	12.9	32.3
State Appropriation (% of Total Revenue)	29.9	26.7	22.9	25.3	32.4	12.5	26.6
Operational and Demographic Data:							
Primary Selectivity (%)	71.6	69.6	55.2	46	85.9	64.4	64.2
Primary Matriculation (%)	39.6	36.3	31.6	41.2	28	44.6	35.7

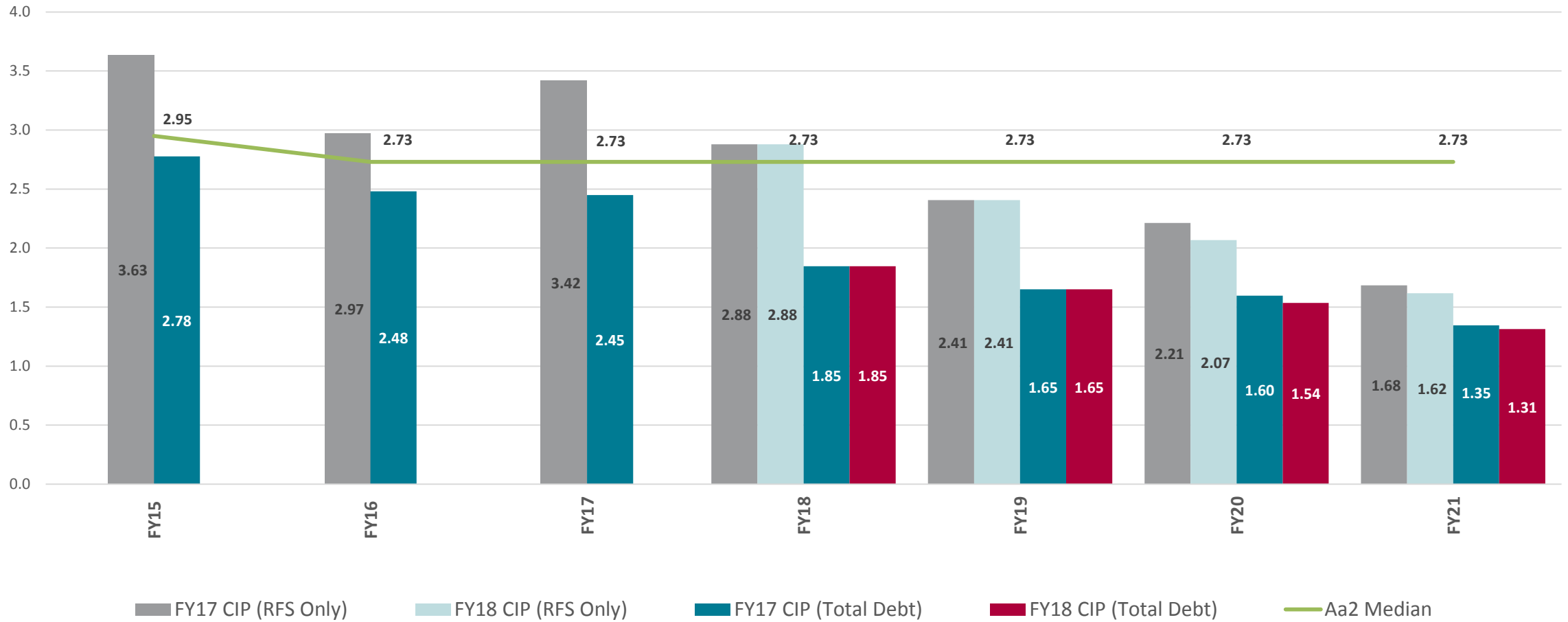
Spendable Cash & Investments to Debt



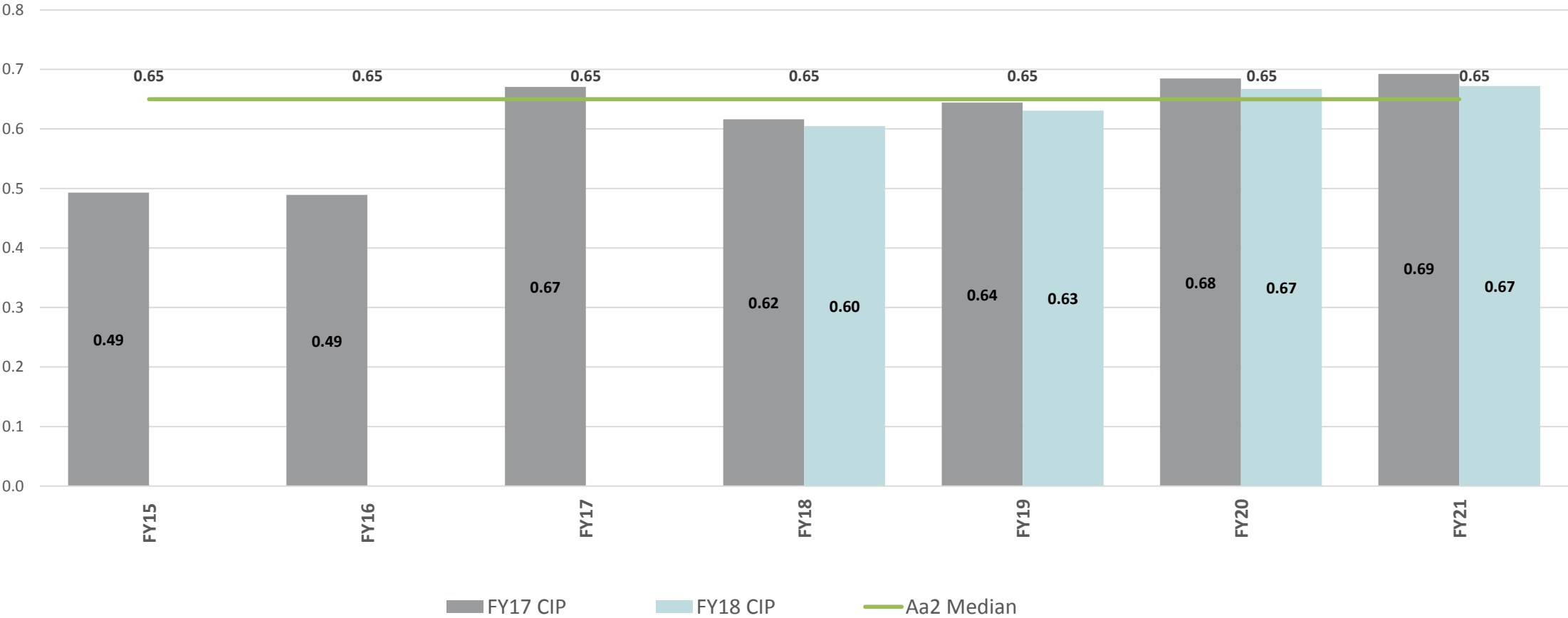
Debt Service to Operating Expenses



Debt Service Coverage



Spendable Cash & Investments to Operating Expenses



Current vs Proposed CIP

FY17 CIP compared to FY18 CIP

		<i>Actuals</i>				<i>Forecast</i>			Aa2 Median
		FY15	FY16	FY17	FY18	FY19	FY20	FY21	
Spendable Cash & Investments to RFS Debt	FY 2017 CIP	1.08	1.10	1.38	1.09	1.02	1.12	1.24	1.06
RFS Debt Service to Adjusted Operating Expenses	FY 2017 CIP	2.64%	3.25%	3.91%	3.88%	3.96%	4.09%	4.83%	4.50%
RFS Debt Service Coverage Ratio	FY 2017 CIP	3.63	2.97	3.42	2.88	2.41	2.21	1.68	2.73
Spendable Cash & Investments to Operating Expenses	FY 2017 CIP	0.52	0.52	0.67	0.62	0.64	0.68	0.69	0.65

		<i>Actuals</i>				<i>Forecast</i>			Aa2 Median
		FY15	FY16	FY17	FY18	FY19	FY20	FY21	
Spendable Cash & Investments to RFS Debt	FY 2018 CIP	1.08	1.10	1.38	1.05	0.96	1.04	1.10	1.06
RFS Debt Service to Adjusted Operating Expenses	FY 2018 CIP	2.64%	3.25%	3.91%	3.88%	3.96%	4.37%	5.00%	4.50%
RFS Debt Service Coverage Ratio	FY 2018 CIP	3.63	2.97	3.42	2.88	2.41	2.07	1.62	2.73
Spendable Cash & Investments to Operating Expenses	FY 2018 CIP	0.49	0.49	0.67	0.60	0.63	0.67	0.67	0.65

Fiscal Year 2018 Operating Budget UNT System Administration

Expenditures

Budgeted 2017	Budgeted 2018	Change \$	Change %
\$65.4	\$63.2	(\$2.2M)	(3.4%)

- Reduce FTE staffing by a net 2 positions
- Continue cost reductions applied in FY17
- Implement new and ongoing IT savings

\$2.2M decrease reflects:

1. \$1.8M (2.7%) net operating expense increase for new initiatives (new student technology), IT licensing, and employee merit pay
2. \$3.2M includes expenses previously in campus budgets
3. (\$7.0M) decrease in debt service (now in non-current)
4. (\$.23M) Facilities fee moved to non-current funds

Highlighted Categories	Budgeted 2017	Budgeted 2018	Change
Salaries, Wages, & Payroll-Related Costs	\$51.3	\$52.4	2.1%
Debt Service Principal & Interest	\$7.0	\$0	(-100%)
Facilities & Capital			
Scholarships & Financial Aid			
Impact on Fund Balance	(\$2.4)	\$0.9	146.8%

Expenses

	FY17		FY18		Increase (Decrease)
Employee Costs	\$	51,271,643	\$	52,386,640	\$ 1,114,997
M&O	\$	7,216,153	\$	10,846,502	\$ 3,630,349
Debt Service	\$	6,956,831	\$	-	\$ (6,956,831)
Total Expenses	\$	65,444,627	\$	63,233,142	\$ (2,211,485)

Notes

- Employee increase includes Merit
- M&O increase includes \$3.2M formerly included in campus expense budgets

Revenues & Transfers

Budgeted 2017	Budgeted 2018	Change \$	Change%
\$63.1M	\$64.0M	\$0.9M	1.5%

FY18 System services funded over 90% by campus funds

\$0.9M increase reflects:

- \$3.2M transfer of FY17 expenses from campus to System
- \$5.4M Core Services increase allocation to cover:
 - Base operating expenses paid with \$2.4M FY17 reserves
 - Merit program for employees, fund balance, and other operating expenses
- (\$7.0M) decrease in debt service transfers (previously reported in expense section)
- (\$.35M) decrease in Inter-Fund Transfers (Facilities Management Fee. Now in non-current)
- (\$.35M) FY17 budget included a transfer from the campuses for the reimbursement of Enterprise Learning Management (ELM) expenses. In FY18, ELM will be funded by the Shared Services Allocation.

Highlighted Categories	Budgeted 2017	Budgeted 2018	Change
State Appropriations	\$8.2	\$4.1	(50.0%)
Sales of Goods & Services	\$1.9	\$2.0	5.3%
Other Revenue	\$0.2	\$0.2	0%
Revenue	\$10.2	\$6.3	(38.2%)
Transfers	\$52.8	\$57.7	9.3%
Total Revenue & Transfers	\$63.1	\$64.0	1.5%

Note: Dollars in millions.

Reserves & Capital Expenditures

2017 Est Unrestricted	2018 Est Unrestricted	Change \$	Change %
\$6.2M	\$7.1M	\$0.9M	14.5%

New Projects Include

\$0 – RFS No new projects in FY18

Previously-approved Projects Include

\$56M – TRB Renovation of the Municipal Building supports the UNT College of Law
 FY17 amount: \$12.54M
 FY18 amount: \$25.2M

RFS – Revenue Financing System
 TRB – Tuition Revenue Bond
 AUX – Auxiliary Reserves

Estimated Budget Impact on Fund Balance

\$0.9M Designated Operating – 20-year reserve plan to meet the goal of 22 weeks of operating expenses

Note: All dollars are in millions.
 *includes \$2M for College of Law set aside

FTE EMPLOYEES

FTE Categories	FY16		FY17		FY18
	Budget	Actual	Budget	Actual	Budget
Administrators	16.0	18.4	17.0	17.7	18
Faculty	0	0	0	0	0
Other Staff	513.0	495.7	542.3	524.8	530.3
Total FTE	529.0	514.1	559.3	542.5	548.3

FY16 and FY17 actuals taken from the average of Q1-Q3. State Auditor’s FTE Report for each year.

Fiscal Year 2018 Operating Budget

Revenues

	FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
	\$ 295.7	\$ 245.2	\$ (50.5)	-17.1%

Key Drivers, Trends, & Initiatives

Key drivers: Decreases related to Legislative Appropriations, Correctional Medicine contract and UNT Health realignment

Trends: Estimated enrollment and projected revenue are expected to be stable over the next biennium

Initiatives: Overall goal of \$12.5M in philanthropy through UNTHSC's foundation, of which \$5.0M is projected for the TCU and UNTHSC School of Medicine

Highlighted Categories	FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
Sales of Good & Services	\$ 15.7	\$ 39.2	\$ 23.5	149.6%
Grants & Contracts	\$ 94.7	\$ 35.9	\$ (58.8)	-62.1%
Professional Fees	\$ 33.0	\$ 13.7	\$ (19.3)	-58.4%
Tuition and Fees	\$ 29.6	\$ 31.8	\$ 2.1	7.1%
State Appropriations	\$ 97.5	\$ 103.6	\$ 6.1	6.3%
Capital Appropriations-HEF	\$ 17.1	\$ 17.1	\$ -	0.0%

Note: All dollars in tables are in millions.

Expenditures & Transfers

FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
\$ 286.3	\$ 238.4	\$(47.90)	-16.7%

Key Drivers, Trends, & Initiatives

Key drivers: Decreased costs due to partnership with Acclaim, in which a significant number of UNTHSC faculty transferred employment to Acclaim

Trends: Repositioning UNT Health while strengthening educational programs, as well as launching the TCU and UNTHSC School of Medicine in July 2019

Initiatives: Additional hiring of staff to strengthen Compliance programs and additional hiring of faculty to improve quality of education offered to students in the School of Health Professions

Highlighted Categories	FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
Salaries, Wages, & Payroll Related Costs	\$ 176.5	\$ 147.3	\$ (29.2)	-16.5%
Professional Fees & Services	\$ 39.5	\$ 30.5	\$ (9.0)	-22.7%
Materials & Supplies	\$ 13.4	\$ 9.0	\$ (4.4)	-32.7%
Debt Service - Principal & Interest	\$ 17.1	\$ 15.9	\$ (1.2)	-7.1%
Impact on Fund Balance	\$ 9.4	\$ 6.8	\$ (2.5)	-27.1%

Note: All dollars in tables are in millions.

Reserves & Capital Expenditures

	FY2016 AFR Ending Reserves	FY2017 Proj Ending Reserves	FY2018 Est Ending Reserves	Change \$ - FY2017 v. FY2018	Change % - FY2017 v. FY2018
New Projects Include	\$ 104.20	\$ 107.70	\$ 114.50	\$ 6.8	6.3%
\$2.47 – RFS	Gross Anatomy Laboratory Renovation				
Previously-approved Projects Include					
\$44.3 – TRB \$12.57 – RFS	Interdisciplinary Research and Education Building (\$118.5M total projected cost)				
Estimated Budget Impact on Fund Balance					
\$3.6	Education and General – addition to Reserves				
\$3.2	Designated Operating – addition to Reserves				

RFS – Revenue Financing System
TRB – Tuition Revenue Bond
AUX – Auxiliary Reserves

Note: All dollars in tables are in millions.

Full-Time Equivalent Employee Data

Classification	FY2016		FY2017		FY2018
	Budget	Actuals*	Budget	Actuals*	Budget
Administrators	30.0	23.4	27.7	26.2	26.6
Faculty	458.4	438.2	454.5	311.8	308.0
Other Staff	1,099.4	1,120.8	1,017.2	1,000.8	974.4
Total	1,587.8	1,582.4	1,499.4	1,338.8	1,309.0

FTE Trends

FY16 to FY17

FTEs decreased in FY17, primarily as a result of UNTHSC faculty transferring employment to Acclaim

FY17 to FY18

FY18 FTE forecast is significantly lower than FY17's FTE budget due to the newly-created partnership with Acclaim, which was implemented after UNTHSC's FY17 budget submission

*Source: For FY16 & FY17 – Average of Q1 – Q3 FTE data submitted to State Auditor's Office.



Fiscal Year 2018 Operating Budget

Revenues



FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
\$ 695.09	\$ 705.02	\$ 9.93	1.43%

Key Drivers, Trends, & Initiatives

Tuition and Fees	\$9.15M
<i>Student enrollment increase of 2.25%</i>	
<i>Board approved total academic cost increase 3.9%</i>	
State appropriation	\$(1.94)M
<i>Operations support decrease \$(6.01)M</i>	
<i>Tuition Revenue Bond increase \$4.07M</i>	

Highlighted Categories	FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
Tuition & Fees	\$ 309.68	\$ 318.83	\$ 9.15	3.0%
Sales of Goods & Services	\$ 94.53	\$ 98.90	\$ 4.37	4.6%
Grants & Contracts	\$ 105.02	\$ 98.78	\$ (6.24)	(5.9%)
State Appropriations	\$ 138.14	\$ 136.20	\$ (1.94)	(1.4%)
Gift Income	\$ 7.36	\$ 9.78	\$ 2.42	32.9%
Investment Income	\$ 2.05	\$ 3.83	\$ 1.78	86.8%

Note: All dollars in tables are in millions.

Expenditures & Transfers



FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
\$ 685.32	\$ 698.86	\$ 13.54	1.98%

Key Drivers, Trends, & Initiatives

Increases in salaries <i>21 new faculty positions</i> <i>Moved all Assoc. Deans to 100% faculty from staff % time</i>	\$3.60M
Decreases in salaries and wages <i>Eliminated 7 staff positions</i> <i>Salary savings from vacant positions</i>	\$(6.95)M
Increase in Shared & Core Service cost transfers <i>Funding source changes (to current funds) \$2.37M</i> <i>Increase in assessment \$5.01M</i>	\$7.38M

Highlighted Categories	FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
Salaries, Wages, & Payroll Related	\$ 380.16	\$ 376.81	\$ (3.35)	(0.9%)
Debt Service				
Principle & Interest	\$ 44.22	\$ 44.90	\$ 0.68	1.5%
Scholarships & Financial Aid	\$ 67.77	\$ 71.40	\$ 3.63	5.4%

Note: All dollars in tables are in millions.

Reserves & Capital Expenditures



	FY2016 AFR Ending Reserves	FY2017 Proj Ending Reserves	FY2018 Est Ending Reserves	Change \$ - FY2017 v. FY2018	Change % - FY2017 v. FY2018
New Projects Include	\$ 182.24	\$ 192.01	\$ 198.16	\$ 6.15	3.2%
\$4.55 – AUX	Maple Hall and Clark Hall				
\$3.76 - HEF	Sage Hall Academic Success Center, Discovery Park, Music Building				
\$6.85 – RFS/CP	New Dining Hall, Fouts Field, Art Building Roof				
Previously-approved Projects Include					
\$70.00 – TRB	College of Visual Arts and Design				
\$102.60 – RFS	New Residence Halls and Welcome Center				
\$38.00 - RFS	Discovery Park – MEP and Bio-Medical Addition				
Estimated Budget Impact on Fund Balance					
\$6.15	Unrestricted Current Operating Funds				
	<i>\$8.9 AUX unrestricted current fund reserve is planned for non-current projects in FY 18</i>				

RFS – Revenue Financing System
 CP = Commercial Paper
 TRB – Tuition Revenue Bond
 AUX – Auxiliary Reserves

Note: All dollars in tables are in millions.

Full-Time Equivalent Employee Data



Classification	FY2016		FY2017		FY2018
	Estimate	Actuals*	Estimate	Actuals*	Estimate
Administrators	62.0	61.6	64.0	68.8	68.0
Faculty	1,668.0	1,736.5	1,682.0	1,397.7	1,703.0
Other Staff	3,616.0	3,638.5	3,634.0	4,104.3	3,627.0
Total	5,346.0	5,436.6	5,380.0	5,570.8	5,398.0

FTE Trends

- State Auditor Office (SAO) data is defined as number of employees (FTEs) averaged for the quarter. Vacancies, including a hire for 1 month of the 3 month quarter (.33 FTE), result in unpredictable weights for FTE counts. Student workers (e.g. Teaching Fellows, Graduate Assistants, Undergraduate Research Assistants, Student Academic Assistants, Student Assistants, and Resident Hall Advisors) are coded as Other Staff for SAO report.

- Actual payroll data for April 2017, UNT Paid \$30.79M to 9,495 individuals, including 5,225 students.

- Total budgeted salaried FTE positions (including vacancies):
 FY16 - 3,408 FY 17 - 3,495 FY 18 - 3,604

- FY 2018 budgeted FTEs include positions for enrollment growth, strategic priorities, and full year operations of new auxiliary facilities. These include a new residence hall, Student Union, Frisco, new College of Science, organizational development and analytics.

*Source: For FY16 & FY17 – Average of Q1 – Q3 FTE data submitted to State Auditor’s Office.

Fiscal Year 2018 Operating Budget

Revenues

*FY2017 Budgeted	FY2018 Budgeted	Change \$	*Change %
\$ 53.60	\$ 58.40	\$ 4.80	8.96%

Note: All dollars in tables are in millions.

Key Drivers, Trends, & Initiatives

State appropriations & legislative transfers – Reductions in Non-Formula Support Items for both UNT Dallas and UNT Dallas College of Law. Additionally, COL appropriations were previously legislative transfers; now they are part of UNT Dallas State Appropriations. Total reduction is \$1.3 M or 4.5%

Net Tuition & Fees – Increased alignment between budget and accounting in regards to Discount & Allowances (D&A). UNT Dallas is budgeting a 15% grown in SCH and no tuition increase. COL is budgeting 4.8% decrease in SCH due to smaller incoming cohort than previous years; and a nominal tuition increase.

Grants & Contracts – Increased revenue in both PELL and TEXAS grants. New awards that include two large Upward Bound (TRIO) programs and several smaller awards through Private Foundations.

Highlighted Categories	FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
State Appropriations	\$ 24.90	\$ 27.80	\$ 2.9	11.6%
Legislative Transfers	\$ 4.20	\$ -	\$ (4.2)	-100.0%
Subtotal: State Appropriations & Legislative Transfers	\$ 29.10	\$ 27.80	\$ (1.3)	-4.5%
*Net Tuition & Fees	\$ 20.50	\$ 19.36	\$ (1.1)	-5.6%
Grants & Contracts	\$ 6.90	\$ 9.70	\$ 2.8	40.6%

**To provide a better comparison, if the D&A changes are removed (reduce FY2017 budget by \$4M), the university estimates a 17% increase in Net Tuition and Fees (\$16.5M in FY17 vs. \$19.4M in FY18); the impact to Total Revenues would be an increase of 17.7% (\$49.6M in FY17 vs. \$58.4M in FY18)*

Expenditures & Transfers

*FY2017 Budgeted	FY2018 Budgeted	Change \$	*Change %
\$ 55.40	\$ 61.40	\$ (6.00)	-10.83%

Note: All dollars in tables are in millions.

Key Drivers, Trends, & Initiatives

Salaries, Wages, & Payroll Related – enrollment growth drives the need for additional full-time faculty, adjunct faculty, and student support lines. Also, the university has added staff lines in both the Police department and Residence Life to accommodate the transition to a residential campus and 24/7 police coverage. All other additional staff lines are being funded from Grant awards.

Debt Service Principle & Interest – increase is related to Residence Hall RFS Bond repayment beginning in FY2018. Also, FY 2018 will capture Principal and Interest payments as a Debt Service Transfer from Current to Non-Current funds.

Scholarships & Financial Aid - Increased alignment between budget and accounting in regards to Discount & Allowances. Increased PELL and TEXAS financial aid awards.

Highlighted Categories	FY2017 Budgeted	FY2018 Budgeted	Change \$	Change %
Salaries, Wages, & Payroll Related	\$ 26.7	\$ 29.8	\$ (3.1)	-11.6%
Debt Service Principle & Interest	\$ 8.7	\$ 9.0	\$ (0.3)	-3.2%
*Scholarships & Financial Aid	\$ 11.0	\$ 9.0	\$ 2.0	18.4%

**To provide a better comparison, if the D&A changes are removed (reduce FY2017 budget by \$4M), the university estimates a 29% increase in Scholarships & Financial Aid (\$7M in FY17 vs. \$9M in FY18); the impact to Total Expenses would be an increase of 19.5% (51.4M in FY17 vs. 61.4M in FY18).*

Reserves & Capital Expenditures

FY2016 AFR Ending Reserves	FY2017 Proj Ending Reserves	FY2018 Est Ending Reserves	Change \$ - FY2017 v. FY2018	Change % - FY2017 v. FY2018
\$ 16.00	\$ 18.00	\$ 15.00	\$ (3.0)	-16.7%

Note: All dollars in tables are in millions.

Previously-approved Projects Include

\$33.4M– TRB

Student Learning and Success Center

RFS – Revenue Financing System
TRB – Tuition Revenue Bond
AUX – Auxiliary Reserves

Estimated Budget Impact on Fund Balance

\$2.97M

General Revenue – Dedicated: to be used to fund salaries in FY18 that will be moved to Designated sources in FY19. The university has built up excess reserves in the state treasury.

\$188K

Designated – Residence Hall (Auxiliary) will operate in a deficit during its first year of operations. The university is prepared to fund the deficit with a transfer from Designated sources if necessary.

\$33.4M

Debt Proceeds – TRB issued in FY 2017 to be used for Capital Expenditures in FY 2018.

Full-Time Equivalent Employee Data

Classification	FY2016		FY2017		FY2018
	Budget	Actuals*	Budget	Actuals*	Budgeted
Administrators	26.0	21.3	24.0	23.8	25.0
Faculty	126.0	113.3	140.0	142.3	153.0
Other Staff	126.0	135.1	173.0	151.9	212.0
Total	278.0	269.7	337.0	318.0	390.0

FTE Trends

FY16 to FY17

Eliminated two Administrator lines and used the budget to hire 3 new faculty members dedicated to block scheduling courses. Also, budgeted several new faculty lines and increased funding for adjunct faculty to cover rapid SCH growth. Several new student support service positions were budgeted as well as an increase in student worker budgets; both institutionally funded and through federal work study programs. Nine new positions were added in facilities when the university eliminated a contract that outsourced custodial services.

FY17 to FY18

Added one Administrator line in the Office of Student Access & Success. Added two new full time faculty lines and increased funding for adjunct faculty. Other Staff increase is driven by a larger federal work study program, new student service positions, and new lines that are grant and/or private foundation funded. Nine new positions were added in Information Technology as a transfer from UNTS.

*Source: For FY16 & FY17 – Average of Q1 – Q3 FTE data submitted to State Auditor’s Office.

Fiscal Year 2018 Consolidated Operating Budget

2018 Consolidated Operating Budget

Budget Summary Book

- Summary of Revenues, Expenditures, & Other Changes – Current Funds Only

	FY 2017 Forecast (Actuals)	FY 2017 Budget	FY 2018 Budget	 Budget Increases (Decreases) from FY2017 to FY2018	
				Amount	Percent
Revenues					
Net Tuition and Fees	362,020,773	359,867,785	369,943,808	10,076,023	2.8%
Sales of Goods and Services	139,130,710	112,337,449	140,922,481	28,585,032	25.4%

Quarterly Operations Report

- Executive Summary Chart with Tracking
- Year over year charts relocated

Goals:

Transparency

Clarity

Accuracy

85th Legislature – Statewide Impacts

HE funding \$239 million increase over FY2016-17 biennium

- Primarily due to increases to cover:
 - TRB debt service projects authorized in the 84th
 - Higher Education Assistance Fund (HEAF) “Biennialized”
- Formula funding for FY 2016-2017 to 2018-2019 levels -
 - General Academic Institutions (GAIs) - **decrease \$47.7M**
 - Health Related Institutions (HRIs) - **increase of \$20.2M**
- Special Items
 - Significant reductions
 - Renamed “non-formula support”
 - Hold harmless provided to mitigate losses

Notable Increases:

- \$206.2M – TRB Debt Service
- \$131.1M - HEAF
- \$180.8M - Hold Harmless

Notable Decreases:

- \$261.1M – Special Items
- \$129.6M – Research Funds, and
- \$103.1M - TRIP

- **Other Impacts**
 - Financial Aid – TEXAS Grants
 - Military and Veterans Exemptions, including Hazlewood
 - Benefits

Higher Education Group Insurance (HEGI) funding for Higher education (excluding community colleges) is down by \$11.9M from FY 2016-2017.

85th Legislature – UNT System Impacts

General Revenue

- Increase of **\$19.7M** overall
- Formula GR – **Decrease \$3.4M**
- Non-formula Support (formerly Special Items) – **Decrease \$11.8M**
- Research Funds – **Decrease \$1.5M**
- Tuition Revenue Bonds (authorized in 84th) – **Increase \$36.4M**

University of North Texas System Net FY 2018-2019 GR & GRD Appropriations

Compared to 2016-2017; excluding HEF, HEGI *and* TRB debt service

Institution	2016-17	2018-19	Change	Percent
UNT System Administration*	\$ 3.8	\$ 3.6	-0.2	-5%
University of North Texas	\$ 304.3	\$ 309.8	5.5	2%
UNT Health Science Center	\$ 176.7	\$ 179.3	2.6	1%
UNT Dallas*	\$ 37.2	\$ 40.8	3.6	10%
UNT System Total	\$ 522	\$ 534	\$ 12	2%

*Adjusted for College of Law

Revenues

*FY2017 Budgeted	*FY2018 Budgeted	*Change \$	*Change %
\$ 1,054.60	\$ 1,014.80	\$ (39.80)	-3.77%

*In millions.

Current Funds Revenue by UNTS Component

	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	247,103,696	284,127,478	94,901,430	78,886,720	705,019,324
UNT Health Science Center	132,370,268	74,997,712	425,000	37,400,000	245,192,980
UNT Dallas	35,654,589	13,647,637	847,950	8,250,000	58,400,176
UNT System Administration	4,089,548	201,139	1,975,485	-	6,266,172
Total UNTS Consolidated	419,218,102	372,973,966	98,149,865	124,536,720	1,014,878,652

Expenditures & Transfers

*FY2017	*FY2018	*Change	
Budgeted	Budgeted	\$	*Change %
\$ 1,039.50	\$ 1,004.20	\$ 35.30	3.40%

*In millions.

Current Funds Expenditures & Transfers by UNTS Component

	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
Current Funds Expenditures by UNTS Component					
University of North Texas	208,017,317	224,717,774	69,615,187	78,843,536	581,193,813
UNT Health Science Center	101,548,261	70,211,578	418,000	38,392,161	210,570,000
UNT Dallas	30,688,752	7,937,483	481,465	8,194,000	47,301,700
UNT System Administration	11,201,540	50,585,823	1,445,779	-	63,233,142
Subtotal Expenditures	351,455,870	353,452,658	71,960,431	125,429,697	902,298,655
Current Funds Transfers by UNTS Component					
University of North Texas	(39,086,380)	(59,226,304)	(19,317,515)	(43,184)	(117,673,383)
UNT Health Science Center	(27,181,906)	(1,617,718)	-	1,000,000	(27,799,624)
UNT Dallas	(7,933,332)	(5,654,386)	(554,226)	-	(14,141,944)
UNT System Administration	7,117,804	51,483,654	(878,722)	-	57,722,736
Total UNTS Consolidated	(67,083,814)	(15,014,754)	(20,750,463)	956,816	(101,892,215)
Total Expenditures & Transfers	418,539,684	368,467,412	92,710,894	124,472,881	1,004,190,870

Reserves

*FY2016 AFR Ending Reserves	*FY2017 Proj Ending Reserves	*FY2018 Est Ending Reserves	*Change \$ - FY2017 v. FY2018	*Change % - FY2017 v. FY2018
\$ 313.74	\$ 324.91	\$ 335.61	\$ 10.7	3.3%

*In millions.

Estimated Impact to Fund Balance by UNTS Component

	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	-	183,400	5,968,727	-	6,152,128
UNT Health Science Center	3,640,101	3,168,416	7,000	7,839	6,823,356
UNT Dallas	(2,967,495)	55,768	(187,741)	56,000	(3,043,468)
UNT System Administration	5,812	1,098,970	(349,016)	-	755,766
Total UNTS Consolidated	678,418	4,506,554	5,438,970	63,839	10,687,782

UNT System FY2018 Capital Improvement Plan

UNT System Board of Regents

Presented by:

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

August 17-18, 2017

Each August, the Board acts on the UNT System Capital Improvement Plan, authorizing new projects for the upcoming fiscal year.

The FY2018 CIP will add 10 new projects totaling \$59.49M

- University of North Texas
 - New Dining Hall
 - Fouts Field Demolition, Parking and Bus Transfer Station
- University of North Texas Health Science Center
 - Gross Anatomy Lab Renovation

Previously approved projects

- The FY2017 CIP includes 14 projects with total approved budgets of \$104.64M
- When combined with 24 projects approved prior to FY2017, active projects total 38, with planned budgets of of \$627.62M

UNT System FY 2018 Capital Improvement Plan

	# of Projects	Total Project Budgets (millions)	Prior Year Budgets (millions)	Planned FY 2018 Expenditures (millions)
Previously Approved	36	\$ 627.62	\$ 180.37	\$ 233.02
FY 2018	10	\$ 59.49	\$ 0.59	\$ 19.28
Total	46	\$ 687.11	\$ 180.96	\$ 252.30

- For the previously approved projects, approximately \$180.96M has been budgeted to date
- \$252.30M is planned for FY2018 expenditures - primarily related to construction for four previously approved TRB projects, as well as planning and programming for other previously approved projects
- Plan includes amendments to 18 previously approved projects for expanded scope and budget

UNT System FY 2018 Capital Improvement Plan



Funding Source	UNT	UNTD	UNTHSC	UNTS	TOTAL (in millions)
Revenue Financing System Bonds	\$ 39.47	\$ -	\$ 2.47	\$ -	\$ 41.94
Other Funds (HEAF, Local, etc)	\$ 15.60	\$ -	\$ 1.95	\$ -	\$ 17.55
Tuition Revenue Bonds	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL	\$ 55.07	\$ -	\$ 4.42	\$ -	\$ 59.49

Project cash flow needs are closely coordinated with Vice Chancellor of Finance and Campus Finance Officers

Scope and Budget Modifications and Project Status Reporting

- Under Regents Rules, the Chancellor has authority to approve limited scope and budget changes to approved projects.
 - The limits for these adjustments is plus or minus 5% with appropriate confirmation of funds.
 - The excess amount is reported in an amendment to the Capital Improvement Plan at the next regularly scheduled Board Meeting.
- Changes in scope or budget greater than 5% of approved amounts require amendment of CIP and Board approval.
- Quarterly progress reporting will continue to be provided to the Board.

UNT System FY2018 Capital Improvement Plan

UNT System Board of Regents

Presented by:

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

August 17-18, 2017



Title: Approval of the FY18 UNT System Consolidated Budget

Background:

The Office of the Vice Chancellor for Finance presents to the Board of Regents the FY2018 Consolidated Budget for approval on behalf of the University of North Texas (UNT), UNT Health Science Center (UNTHSC), University of North Texas at Dallas (UNTDD), and UNT System Administration (System Administration).

The proposed Budget is a combination of Current Funds for Board approval and estimates of Non-current Funds to provide the expected impact of the budget on the financial health of the institution. This All Funds approach is taken to meet the expectations of the Board of Regents for greater public transparency, accountability, and integrated financial operations at the UNT System.

The proposed Consolidated UNT System Budget is composed of current funds revenue of \$1,014.9M, current funds expenditures of \$902.3M, and total current funds net transfers of (\$101.9M). This budget results in a net impact to current fund balances of \$10.7M.

Financial Analysis/History:

The UNT System Consolidated Budget as presented provides detailed information on the proposed revenue, expense and transfer budgets and their impact on the financial health of the UNT System.

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: 2017.08.10 13:56:25 -05'00'
UNT Chief Financial Officer

Gregory R. Anderson
Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, ou=University of North Texas Health Science Center, ou=Executive Vice President/CFO,
email=gregory.anderson@unthsc.edu, c=US
Date: 2017.08.10 13:41:25 -05'00'
UNTHSC Chief Financial Officer

daniel.edelman@untdallas.edu
Digitally signed by
daniel.edelman@untdallas.edu
DN:
cn=daniel.edelman@untdallas.edu
Date: 2017.08.10 16:20:25 -05'00'
UNT Dallas Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu, c=US
Date: 2017.08.10 15:16:30 -05'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.10 15:12:40 -05'00'
Vice Chancellor/General Counsel

Schedule:

Once approved, this budget will be implemented for fiscal year 2018 beginning September 1, 2017.

Recommendation:

Approval of the FY2018 Consolidated Current Fund Budget for UNT, UNTHSC, UNTD and System Administration.

Recommended By:

Janet Waldron

Vice Chancellor for Finance

Lee
Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.08.10 16:52:27 -05'00'

Chancellor

Attachments Filed Electronically:

- UNT System FY2018 Consolidated Operating Budget



Board Order

Title: Approval of the FY18 UNT System Consolidated Budget

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

Whereas, each institution of the UNT System has developed a budget for the 2018 Fiscal Year, and

Whereas, the total Current Funds revenue budget of the UNT System is summarized in the following table, and

Current Funds Revenue by UNTS Component					
	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	247,103,696	284,127,478	94,901,430	78,886,720	705,019,324
UNT Health Science Center	132,370,268	74,997,712	425,000	37,400,000	245,192,980
UNT Dallas	35,654,589	13,647,637	847,950	8,250,000	58,400,176
UNT System Administration	4,089,548	201,139	1,975,485	-	6,266,172
Total UNTS Consolidated	419,218,102	372,973,966	98,149,865	124,536,720	1,014,878,652

Whereas, the total Current Fund expense budget of the UNT System is summarized in the following table, and

Current Funds Expenditures by UNTS Component					
	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	208,017,317	224,717,774	69,615,187	78,843,536	581,193,813
UNT Health Science Center	101,548,261	70,211,578	418,000	38,392,161	210,570,000
UNT Dallas	30,688,752	7,937,483	481,465	8,194,000	47,301,700
UNT System Administration	11,201,540	50,585,823	1,445,779	-	63,233,142
Total UNTS Consolidated	351,455,870	353,452,658	71,960,431	125,429,697	902,298,655

Whereas, the total Current Fund transfer budget of the UNT System is summarized in the following table

Current Funds Transfers by UNTS Component					
	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	(39,086,380)	(59,226,304)	(19,317,515)	(43,184)	(117,673,383)
UNT Health Science Center	(27,181,906)	(1,617,718)	-	1,000,000	(27,799,624)
UNT Dallas	(7,933,332)	(5,654,386)	(554,226)	-	(14,141,944)
UNT System Administration	7,117,804	51,483,654	(878,722)	-	57,722,736
Total UNTS Consolidated	(67,083,814)	(15,014,754)	(20,750,463)	956,816	(101,892,215)

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

1. The FY 2018 Current Funds operating budget for UNT System institutions (UNT, UNTHSC, UNTD and UNT System Administration) as presented

VOTE: ____ ayes ____ nays ____ abstentions

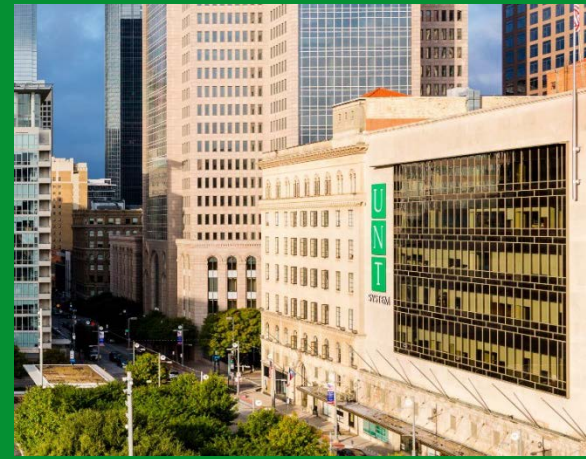
BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



2018 Consolidated Operating Budget

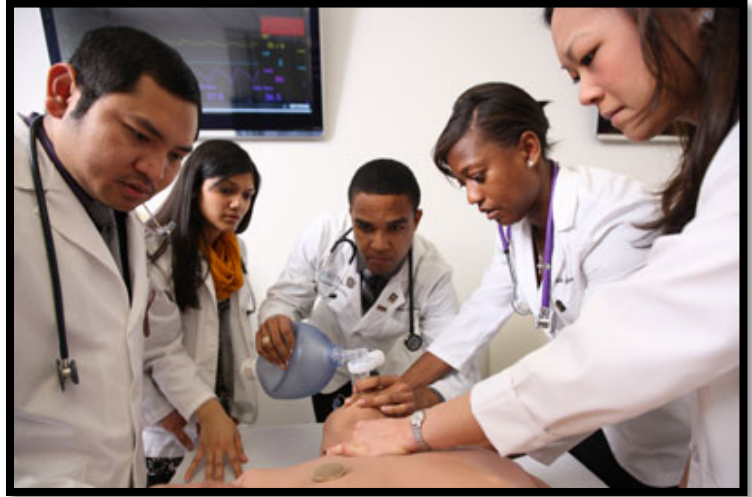
University of North Texas System

Janet Waldron, Vice Chancellor for Finance

1901 MAIN STREET
DALLAS, TEXAS 75201
(214) 752-5541

2018 Consolidated Operating Budget

The University of North Texas System (UNT System or UNTS) includes the University of North Texas in Denton, the University of North Texas Health Science Center in Fort Worth and the University of North Texas at Dallas. The UNT System Administration is based in downtown Dallas. UNTS is governed by a Board of Regents appointed by the Governor of Texas and is the only Texas public university system headquartered in the vibrant North Texas region. The three independent universities of the UNT System have combined enrollment of just over 42,000 students across five major teaching locations, including each main campus, as well as Frisco and downtown Dallas. UNT institutions award more than 8,000 degrees each year – including the largest number of master’s and doctoral degrees in the region. Overall, the UNT System boosts the Texas economy by nearly \$5.2 billion each year.



This document presents The UNT System’s fiscal 2018 Consolidated Operating Budget including the component institutions and System Administration. This document also presents information about the budget process, budget policies, as well as a glossary of terms. Each institution has provided an overview with highlights and assertions used to derive their budget submissions that support their individual strategic goals and objectives and the overarching vision of the UNT System.



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UNT System Consolidated Budget Overview

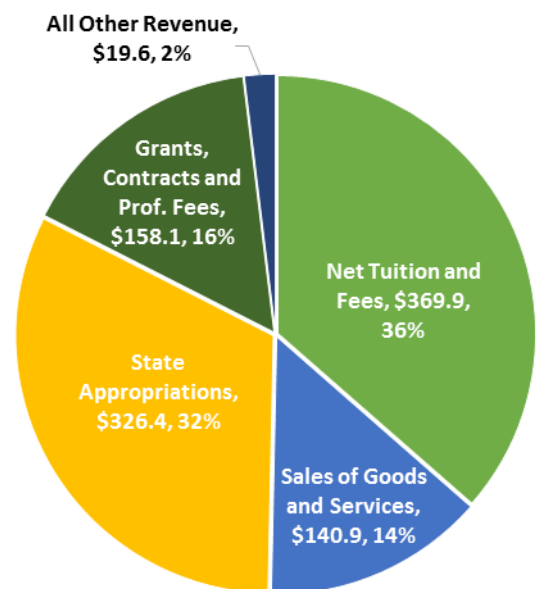
Executive Summary and Highlights

The University of North Texas System Consolidated Operating Budget Summary Book presents summary information on total sources and uses of the individual Universities' and System Administration's funds by major fund groups for current and non-current funds. Budget planning and development was guided by the campus strategic plans and the policy decisions and planning parameters of the Chancellor and the Board of Regents. Net tuition and fee revenues included in these budgets are based on tuition and required fee rates approved by the Board. The increase in net fee revenues included in the budget is driven by enrollment changes related to student mix, enrollment growth, and financial aid combined with approved rate increases in tuition, and other required fees.

Revenues

UNT System Consolidated fiscal year 2018 total current funds budgeted revenues are \$1.0 billion. Fiscal year 2018 budgeted State appropriation revenues for UNT System in total are \$5.0 million (2%) higher than fiscal year 2017 budgeted appropriation revenues. During the 85th Legislative session (2018-2019 Biennium), the State of Texas increased funding for the UNT System in General Revenue funding – which is a net of the increase in funding for Tuition Revenue Bonds (approved in the 84th), and decreases in formula GR, Non-formula Support (formerly Special Items), and research. Net tuition and fees revenues are budgeted at an increase of \$9.7 million (3.0%) for fiscal year 2018 over fiscal year 2017. This increase is attributed to increased enrollment.

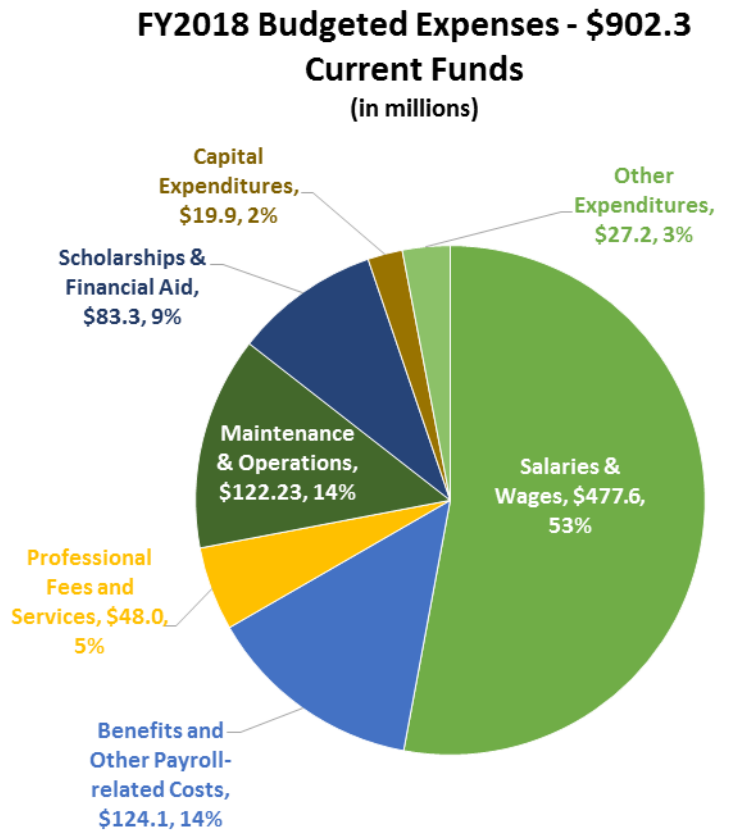
FY2018 Budgeted Revenues - \$1,014.9
Current Funds
(in millions)



Expenditures

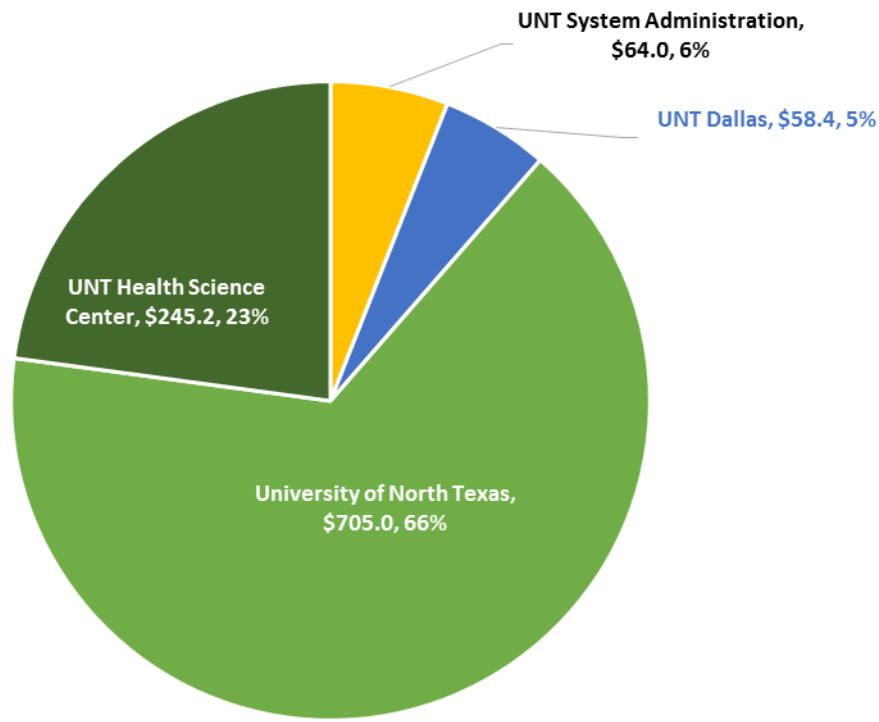
Total current funds budgeted expenditures for UNT System for fiscal year 2018 are \$0.9 billion. Salaries and wages make up the largest portion of expenses at \$477.6 million or 53% of the total budget. Total personnel costs including benefits total \$601.7 million or 67% of the total expense budget. The majority of Current Fund expenses are from Education and General funds (39%) and Designated Operating funds (39%).

The UNT System Consolidated Operating Budget reflects an impact on fund balances in current funds of approximately \$10.7 million. Where applicable, planned usages of fund balance are included on an institution's budget template, and are included on the UNT System Consolidated detail template.

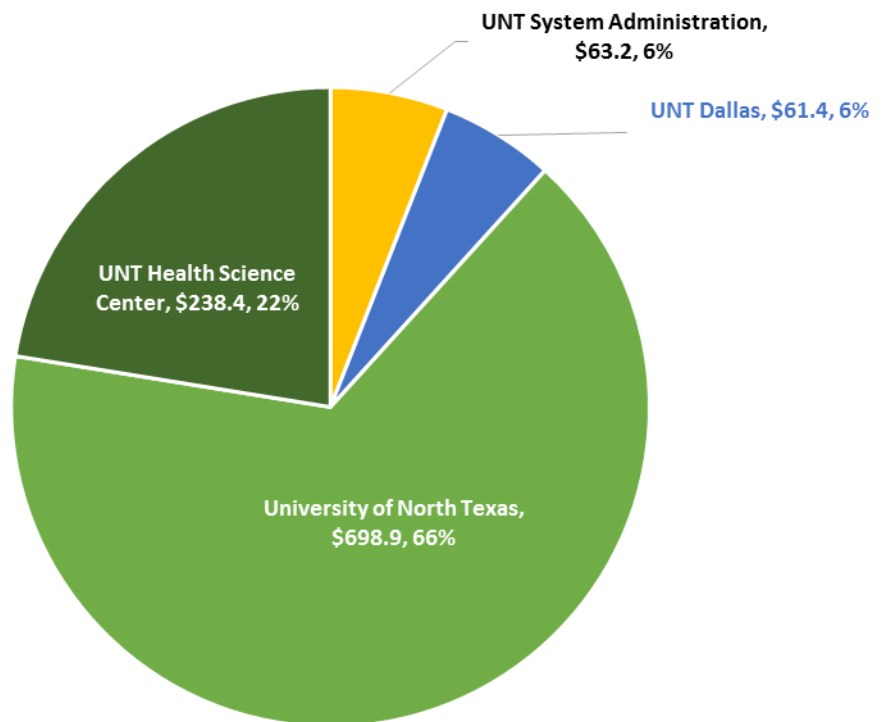


Consolidated Revenues, Expenditures, and Transfers by Institution

FY2018 Revenues and Transfers by Institution - \$1,072.6
(in millions)

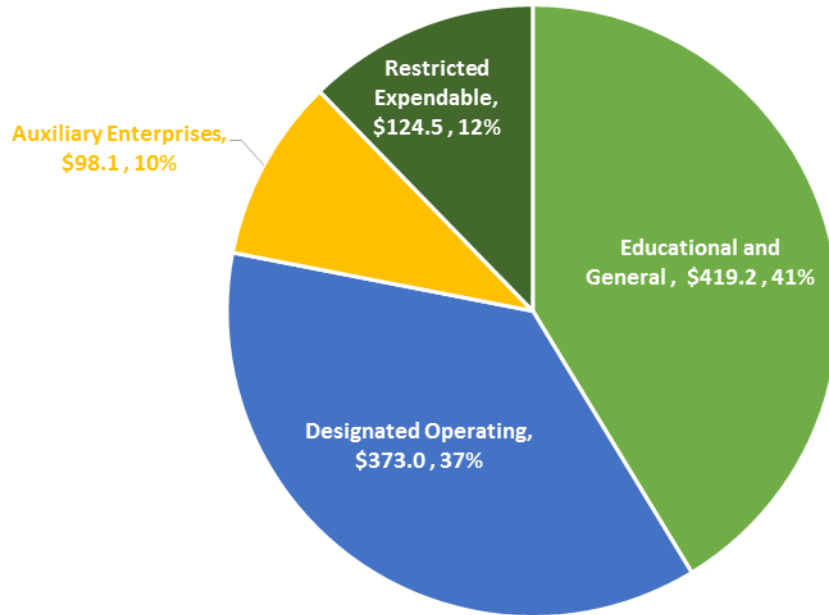


FY2018 Expenditures and Transfers by Institution - \$1,061.9
(in millions)

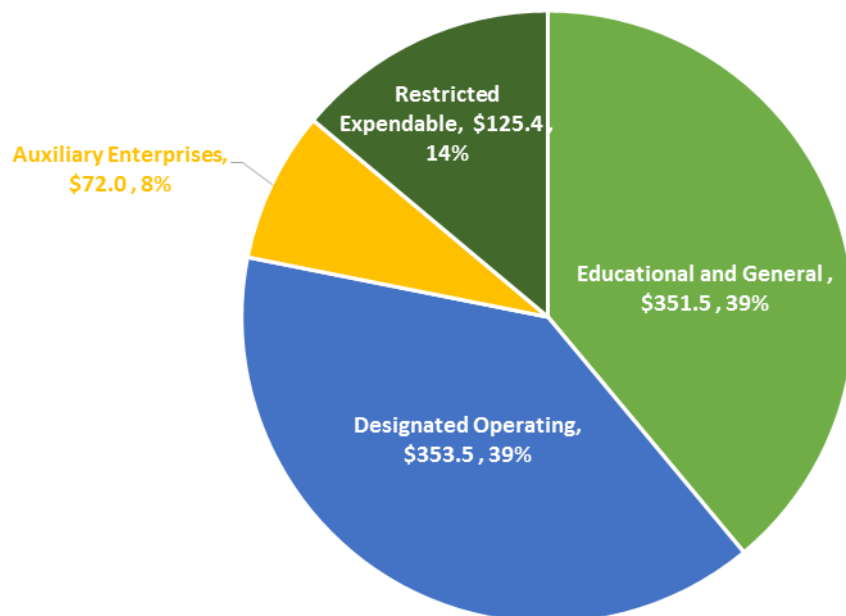


Consolidated Revenues and Expenditures by Fund Category

FY2018 Consolidated Revenues by Fund Category - \$1,014.9
(in millions)



FY2018 Consolidated Expenses by Fund Category - \$902.3
(in millions)





Fiscal Year 2018 Summary – Current Funds

Budget for Revenues, Expenditures & Other Changes in Fund Balance



	FY 2017 Forecast (Actuals)	FY 2017 Budget	FY 2018 Budget	Budget Increases (Decreases) from FY2017 to FY2018	
				Amount	Percent
Revenues					
Net Tuition and Fees	362,020,773	359,867,785	369,943,808	10,076,023	2.8%
Sales of Goods and Services	139,130,710	112,337,449	140,922,481	28,585,032	25.4%
Grant and Contracts	148,730,171	206,599,803	144,330,498	(62,269,305)	-30.1%
State Appropriations	259,522,091	266,638,539	269,655,483	3,016,944	1.1%
Capital Appropriations - HEF	56,767,060	56,766,916	56,766,916	-	0.0%
Net Professional Fees	17,349,000	33,013,420	13,722,182	(19,291,238)	-58.4%
Gift Income	13,172,256	13,258,631	11,780,214	(1,478,417)	-11.2%
Investment Income	7,173,576	5,246,897	6,484,715	1,237,818	23.6%
Other Revenue	2,143,331	854,479	1,272,356	417,877	48.9%
Total	1,006,008,967	1,054,583,919	1,014,878,653	(39,705,266)	-3.8%
Expenditures					
Personnel Costs	565,757,835	634,668,140	601,676,435	(32,991,705)	-5.2%
Supplies and Other	138,180,528	138,742,957	134,946,430	(3,796,527)	-2.7%
Travel	13,328,148	12,075,064	13,578,634	1,503,570	12.5%
Purchased Services	55,019,597	60,176,358	48,007,899	(12,168,459)	-20.2%
Scholarships, Exemptions, and Financial Aid	82,989,512	83,833,847	83,312,792	(521,055)	-0.6%
Debt Service - Principal	37,514,539	35,225,270	-	(35,225,270)	-100.0%
Capital Outlay	22,932,204	19,635,792	19,923,816	288,024	1.5%
Federal and State Pass-Through Expense	880,034	230,034	852,650	622,616	270.7%
Interest Expense and Fiscal Charges	27,032,260	29,386,684	-	(29,386,684)	-100.0%
Total	943,634,657	1,013,974,146	902,298,656	(111,675,490)	-11.0%
Excess Income Over Expenditures	62,374,310	40,609,773	112,579,997	71,970,224	177.2%
Transfers					
<i>Interfund Transfers and Transfers Between UNTS Components</i>					
Transfers In/(Out)	(61,812,865)	(41,366,879)	(106,118,143)	(64,751,264)	156.5%
<i>Other Transfers</i>					
Transfers to Other State Agencies In/(Out)	-	(212,784)	(141,823)	70,961	-33.3%
Other Legislative Transfers In/(Out)	20,593,209	15,933,214	4,367,750	(11,565,464)	-72.6%
Total	(41,219,656)	(25,646,449)	(101,892,216)	(76,245,767)	297.3%
Estimated Impact on Fund Balance	21,154,654	14,963,324	10,687,781	(4,275,543)	-28.6%
Planned Use of Fund Balances	3,451,750	4,167,272	3,297,512	(869,760)	-21%

Fiscal Year 2018 – Consolidated UNT System
Budget Detail by Fund Group - Current Funds



	Current Funds				Current Funds
	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	
REVENUES					
Net Tuition and Fees	67,901,042	284,389,849	17,652,917	-	369,943,808
Sales of Goods and Services	262,285	59,826,110	80,119,083	715,003	140,922,481
Grants and Contracts	24,416,493	2,608,285	-	117,305,720	144,330,498
State Appropriations	269,655,483	-	-	-	269,655,483
Capital Appropriations	56,766,916	-	-	-	56,766,916
Net Professional Fees	-	13,722,182	-	-	13,722,182
Gift Income	-	5,380,214	-	6,400,000	11,780,214
Investment Income	157,883	6,060,418	150,417	115,997	6,484,715
Other Revenue	58,000	986,908	227,448	-	1,272,356
Revenues	419,218,102	372,973,966	98,149,865	124,536,720	1,014,878,652
EXPENDITURES					
Salaries - Faculty	130,452,551	54,149,856	-	11,577,785	196,180,192
Salaries - Staff	106,278,372	101,647,611	19,789,648	16,857,393	244,573,024
Wages and Other Compensation	2,641,642	23,217,523	6,936,674	4,059,250	36,855,089
Benefits and Other Payroll-Related Costs	70,172,293	40,092,756	7,256,858	6,546,224	124,068,130
Cost of Goods Sold	-	1,325,605	10,993,648	1,387	12,320,640
Professional Fees and Services	4,181,808	31,899,555	1,334,736	10,591,800	48,007,899
Travel	1,233	10,872,190	252,145	2,453,065	13,578,634
Materials and Supplies	6,653,944	24,020,039	7,554,776	1,990,556	40,219,315
Communication and Utilities	854,934	8,175,937	4,847,914	189,802	14,068,587
Repairs and Maintenance	3,445,622	18,190,272	5,895,640	678,239	28,209,773
Rentals and Leases	353,925	8,724,961	989,373	519,091	10,587,350
Printing and Reproduction	107,362	2,268,897	505,602	369,153	3,251,014
Debt Service - Principal	-	-	-	-	-
Debt Service - Interest	-	-	-	-	-
Capital Expenditures	8,753,306	9,478,733	428,963	1,262,814	19,923,816
Federal and State Pass-Through Expense	11,290	-	-	841,360	852,650
Scholarships, Exemptions, and Financial Aid	15,407,311	2,130,314	741,319	65,033,848	83,312,792
Other Expenditures	2,140,276	17,258,409	4,433,135	2,457,931	26,289,751
Expenditures	351,455,870	353,452,658	71,960,431	125,429,697	902,298,655
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	(39,721,185)	(17,191,978)	(19,300,286)	-	(76,213,449)
Inter-Fund Transfer In/(Out)	(31,588,556)	1,994,345	(1,101,161)	956,816	(29,738,556)
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	-	-	-	-
Core Services	-	-	-	-	-
Other Inter-Unit Transfers In/(Out)	-	(166,138)	-	-	(166,138)
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	(141,823)	-	-	-	(141,823)
Other Legislative Transfers In/(Out)	4,367,750	-	-	-	4,367,750
Transfers	(67,083,814)	(15,363,771)	(20,401,447)	956,816	(101,892,215)
Estimated Impact on Fund Balance	678,418	4,157,537	5,787,987	63,839	10,687,782
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	2,967,495	-	-	-	2,967,495
Residence Hall	-	187,741	-	-	187,741
Facilities Construction & Development	-	142,276	-	-	142,276
Debt Proceeds	-	-	-	-	-
Planned Use of Fund Balance & Debt Proceeds	2,967,495	330,017	-	-	3,297,512

Fiscal Year 2018 – Consolidated UNT System
Budget Detail by Fund Group – Non-Current Funds



	Non-Current Funds				FY18
	Endowment Funds	Loan Funds	Plant and Debt	Non-Current	Allfunds
REVENUES					
Net Tuition and Fees	-	380,000	-	380,000	370,323,808
Sales of Goods and Services	-	1,000	-	1,000	140,923,481
Grants and Contracts	610,000	-	-	610,000	144,940,498
State Appropriations	-	-	-	-	269,655,483
Capital Appropriations	-	-	-	-	56,766,916
Net Professional Fees	-	-	-	-	13,722,182
Gift Income	860,000	-	-	860,000	12,640,214
Investment Income	2,580,096	-	243,704	2,823,799	9,308,514
Other Revenue	102,000	88,150	-	190,150	1,462,506
Revenues	4,152,096	469,150	243,704	4,864,949	1,019,743,602
EXPENDITURES					
Salaries - Faculty	-	-	-	-	196,180,192
Salaries - Staff	-	-	-	-	244,573,024
Wages and Other Compensation	-	-	-	-	36,855,089
Benefits and Other Payroll-Related Costs	-	-	-	-	124,068,130
Cost of Goods Sold	-	-	-	-	12,320,640
Professional Fees and Services	420,000	15,584	2,999,297	3,434,881	51,442,780
Travel	-	-	-	-	13,578,634
Materials and Supplies	-	-	-	-	40,219,315
Communication and Utilities	-	-	-	-	14,068,587
Repairs and Maintenance	-	-	-	-	28,209,773
Rentals and Leases	-	-	-	-	10,587,350
Printing and Reproduction	-	-	-	-	3,251,014
Debt Service - Principal	-	-	43,259,120	43,259,120	43,259,120
Debt Service - Interest	-	-	33,526,433	33,526,433	33,526,433
Capital Expenditures	-	-	257,865,259	257,865,259	277,789,075
Federal and State Pass-Through Expense	-	-	-	-	852,650
Scholarships, Exemptions, and Financial Aid	-	-	-	-	83,312,792
Other Expenditures	-	139,996	-	139,996	26,429,747
Expenditures	420,000	155,580	337,650,109	338,225,689	1,240,524,344
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	-	-	76,213,449	76,213,449	-
Inter-Fund Transfer In/(Out)	(1,850,000)	-	31,588,556	29,738,556	-
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	-	-	-	-
Core Services	-	-	-	-	-
Other Inter-Unit Transfers In/(Out)	-	-	-	-	(166,138)
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	(141,823)
Other Legislative Transfers In/(Out)	-	-	-	-	4,367,750
Transfers	(1,850,000)	-	107,802,005	105,952,005	4,059,789
Estimated Impact on Fund Balance	1,882,096	313,570	(229,604,401)	(227,408,735)	(216,720,954)
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	8,921,000	8,921,000	8,921,000
GR-D Fund Balance (State Treasury)	-	-	-	-	2,967,495
Residence Hall	-	-	-	-	187,741
Facilities Construction & Development	-	-	-	-	142,276
Debt Proceeds	-	-	222,277,105	222,277,105	222,277,105
Planned Use of Fund Balance & Debt Proceeds	-	-	231,198,105	231,198,105	234,495,617

Fiscal Year 2018 – Consolidated UNT System
Budgeted Revenue Breakout by Fund - Current Funds



	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	Current Funds
Resident Undergrad Tuition	36,445,233	201,968,163	-	-	238,413,396
Non-resident Undergrad Tuition	23,161,535	11,547,195	-	-	34,708,730
Other Undergrad Tuition	6,050,000	153,499	-	-	6,203,499
Waivers Undergrad Tuition	(15,613,128)	(58,958)	-	-	(15,672,086)
Gross Undergraduate Tuition	50,043,640	213,609,899	-	-	263,653,539
Resident Graduate Tuition	23,257,610	33,493,458	-	-	56,751,068
Non-resident Graduate Tuition	22,034,713	8,282,542	-	-	30,317,255
Other Graduate Tuition	113,014	2,574,687	-	-	2,687,701
Waivers Graduate Tuition	(5,308,098)	(634,839)	-	-	(5,942,937)
Gross Graduate Tuition	40,097,239	43,715,848	-	-	83,813,086
Fees - Instructional	377,969	24,580,175	-	-	24,958,143
Fees - Mandatory	-	72,174,479	17,458,526	-	89,633,005
Fees - Incidental	-	8,013,009	217,360	-	8,230,369
Waivers - Fees	(151,635)	(264,547)	(22,969)	-	(439,151)
Gross Fees	226,334	104,503,115	17,652,917	-	122,382,366
Disc & Allow-Tuition and Fee	(22,466,171)	(77,439,012)	-	-	(99,905,183)
Discount and Allowances	(22,466,171)	(77,439,012)	-	-	(99,905,183)
Tuition and Waiver Conversion	-	-	-	-	-
Net Tuition and Fees	67,901,042	284,389,849	17,652,917	-	369,943,808
Athletics	-	8,012,892	-	-	8,012,892
Auxiliary Enterprises	-	262,004	78,827,083	-	79,089,087
Discounts and Allowances - Auxiliaries	-	-	-	-	-
Other Sales of Goods and Services	262,285	51,551,215	1,292,000	715,003	53,820,502
Sales of Goods and Services	262,285	59,826,110	80,119,083	715,003	140,922,481
Federal Programs and Contracts	-	-	-	45,554,430	45,554,430
Federal Financial Aid	-	-	-	58,928,982	58,928,982
State Programs and Contracts	-	2,608,285	-	5,957,294	8,565,579
State Financial Aid	24,416,493	-	-	-	24,416,493
Other Grants and Contracts	-	-	-	6,865,014	6,865,014
Grants and Contracts	24,416,493	2,608,285	-	117,305,720	144,330,498
State Appropriations - General	220,344,139	-	-	-	220,344,139
State Appropriations - Additional	49,311,344	-	-	-	49,311,344
State Appropriations	269,655,483	-	-	-	269,655,483
Capital Appropriations - HEF	56,766,916	-	-	-	56,766,916
Capital Appropriations	56,766,916	-	-	-	56,766,916
Gross Professional Fees	-	27,764,438	-	-	27,764,438
Contractual Allowances and Discounts	-	(14,042,256)	-	-	(14,042,256)
Net Professional Fees	-	13,722,182	-	-	13,722,182
Gift Income	-	5,380,214	-	6,400,000	11,780,214
Investment Income	157,883	6,060,418	150,417	115,997	6,484,715
Other Revenue	58,000	986,908	227,448	-	1,272,356
Revenues	419,218,102	372,973,966	98,149,865	124,536,720	1,014,878,652

UNT Budget Overview

Executive Summary and Highlights

Strategic Impact and Major Goals Addressed by FY 2018 Budget

The primary mission of the University of North Texas is to be a student's pathway to a college degree and career success. One of the state's largest public universities, UNT awarded more than 8,700 degrees in the 2016-17 academic year and consistently ranks among the state's top universities for the number of doctoral degrees awarded annually. Investments made during FY 2017 and in subsequent years will ensure continued growth as a research institution that is focused on delivering an exceptional educational experience. Continuing investments in key areas will ensure UNT's ability to remain competitive while achieving strategic goals.

This year's University of North Texas budget follows a legislative session that requires an intensive focus on prioritizing revenue and resources to continue the university's growth and accomplishments. Over the past year, much thought and planning have gone into acquisitions and assets in order to best prepare for the future. Some of the important resource investments made over the past year that will support the university in the coming year include:

- Hired new Provost and Vice President for Academic Affairs, Jennifer Evans-Cowley, a UNT alumna with more than a decade of higher education leadership
- Made key faculty hires across several colleges, with concentrations on STEM, music, education, hospitality, and health and public service areas
- Completed the Science Research Building renovations and started construction on the College of Visual Arts and Design building expansion
- Partnered with the Dallas Cowboys to leverage marketing opportunities, identify strategic relationships, invest in branding promotions, and bring national publicity to the university
- Developed new relationships with industry leaders including Toyota Motor Corporation and NetDragon Websoft
- Continued an upward climb in enrollment with nearly 38,000 students and the largest freshman class to date
- Emphasized strategic distance education at Frisco, Gainesville, Universities Center at Dallas, and Collin Higher Education Center
- Provided 3% pool for merit raises in recognition of outstanding faculty and staff members
- Focused investments for classroom revitalization, student support services and programs, and transportation services to match evolving student populations
- Launched strategic investments for new data warehouse, customer relationship management, and learning management systems to leverage information resources
- Saw a successful football season that engaged students, faculty, staff, alumni and the surrounding community

Revenues



State Appropriations

Support from the 85th Texas Legislative session for the 2018-2019 biennium continues to help UNT to transform an increasingly first-generation college student population into the workforce leaders of tomorrow. For FY 2018 UNT will receive:

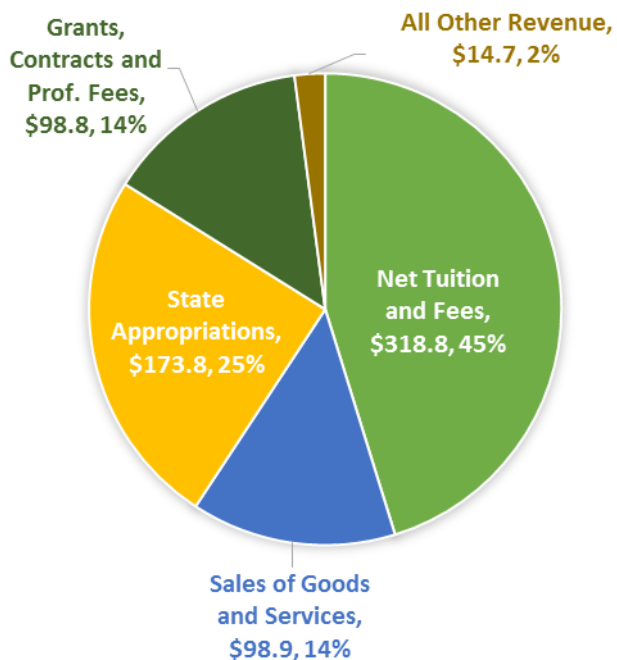
- \$136.2 million in general revenue fund and allocations for employee benefits, which includes:
 - \$2.4 million in research funding
 - \$11.5 million in tuition revenue bond retirement
- \$37.56 million in capital appropriation for Higher Education funds (HEF)

Tuition and Fees

UNT anticipates net tuition and fees of \$318.8 million in FY 2018, a budget increase of \$9.15 million. The estimated \$9.15 million increase contains projected net tuition of \$205.4 million and fee revenue of \$113.4 million. The increase of tuition and fees includes a 2.25% growth in semester credit hours and reflects the UNT System Board of Regent’s approved 3.9% increase in the tuition rate for undergraduates.

Undergraduates can choose between two tuition rates, a fixed rate plan and a traditional tuition plan. The rate for the Eagle Express Tuition Plan, the fixed rate plan, increases total academic cost by 3.9% for each entering class and is locked in for four years. As of the end of FY 2017 more than 6,900 students are in the Eagle Express plan that started in FY 2014. The traditional plan increases total academic cost by 3.9% per year. The FY 2018 net tuition and fees increase includes the impacts of the Eagle Express plan and the traditional tuition plan.

FY 2018 BUDGETED REVENUES
(IN MILLIONS)



FTE Categories	FY 2016 Budget	FY 2017 Budget	FY 2018 Budget
Administrators	62.0	64.0	68.0
Faculty	1668.0	1682.0	1703.0
Other Staff	3616.0	3634.0	3627.0
Total FTE	5346.0	5380.0	5398.0

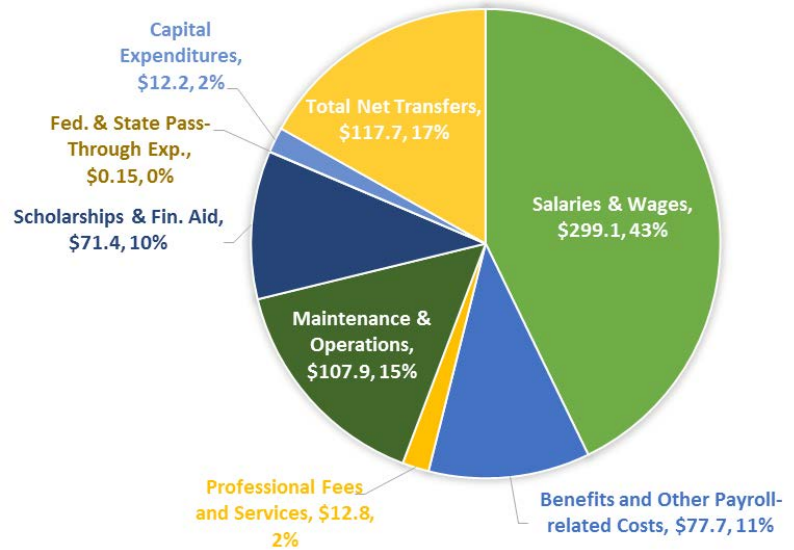
Expenditures



In FY 2018 the university will focus on core issues with strategic funding including:

- \$4.30 million in new funding allocated for Academic Affairs
 - \$1.87 million for 21 new faculty lines including opportunity hires and high impact positions
 - \$1.12 million for other faculty adjustments including the new College of Science faculty, academic deans and college leadership, and competitive market adjustments
 - \$1.31 million for academic support

FY 2018 BUDGETED EXPENDITURES AND TRANSFERS
(IN MILLIONS)



Other Strategic Funding

Dedicated funding for FY 2018 also includes funding for:

- Increases in scholarships and financial aid of \$3.59 million
- Shared and core services costs transfers of \$5.01 million
- \$6.15 million to improve net financial position

Reserves and Capital Expenses

FY 2018 plant increases will include new projects for:

- \$4.55 million of auxiliary funds for Maple and Clark residence halls
- \$3.76 million of HEF funds for the Sage Hall Academic Success Center, Discovery Park, and Music Building
- \$6.85 million of revenue financing and commercial paper funds for a new dining hall, Fouts Field demolition, and the Art Building roof replacement

Previously approved capital projects include:

- \$70 million of Tuition Revenue Bond funding for the College of Visual Arts and Design
- \$102.60 million of revenue financing funds for new residence halls and welcome center
- \$38 million of revenue financing for Discovery Park MEP and Bio-Medical addition



Fiscal Year 2018 Summary – Current Funds

Budget for Revenues, Expenditures & Other Changes in Fund Balances



	FY 2017 Forecast (Actuals)	FY 2017 Budget	FY 2018 Budget	Budget Increases (Decreases) from FY2017 to FY2018	
				Amount	Percent
Revenues					
Net Tuition and Fees	314,179,773	309,680,846	318,834,500	9,153,654	3.0%
Sales of Goods and Services	94,881,205	94,527,606	98,899,496	4,371,890	4.6%
Grant and Contracts	105,794,171	105,016,131	98,779,283	(6,236,848)	-5.9%
State Appropriations	135,113,031	138,138,031	136,203,844	(1,934,187)	-1.4%
Capital Appropriations - HEF	37,562,056	37,562,056	37,562,056	-	-
Net Professional Fees	-	-	-	-	-
Gift Income	10,193,256	7,361,637	9,780,214	2,418,577	32.9%
Investment Income	4,232,576	2,046,322	3,827,576	1,781,254	87.0%
Other Revenue	1,526,331	759,817	1,132,355	372,538	49.0%
Total	703,482,398	695,092,446	705,019,324	9,926,878	1.4%
Expenditures					
Personnel Costs	353,389,408	380,164,591	376,806,273	(3,358,318)	-0.9%
Supplies and Other	102,088,904	101,328,987	97,331,701	(3,997,286)	-3.9%
Travel	10,577,148	8,125,277	10,553,228	2,427,951	29.9%
Purchased Services	13,339,391	15,495,202	12,826,585	(2,668,617)	-17.2%
Scholarships, Exemptions, and Financial Aid	72,239,512	67,768,088	71,361,577	3,593,489	5.3%
Debt Service - Principal	24,940,248	24,940,248	-	(24,940,248)	-100.0%
Capital Outlay	15,994,918	12,654,337	12,161,799	(492,538)	-3.9%
Federal and State Pass-Through Expense	230,034	230,034	152,650	(77,384)	-33.6%
Interest Expense and Fiscal Charges	19,282,631	19,282,631	-	(19,282,631)	-100.0%
Total	612,082,193	629,989,395	581,193,813	(48,795,582)	-7.7%
Excess Income Over Expenditures	91,400,204	65,103,051	123,825,511	58,722,460	90.2%
Transfers					
<i>Interfund Transfers and Transfers Between UNTS Components</i>					
Transfers In/(Out)	(83,997,032)	(60,793,457)	(117,703,740)	(56,910,283)	93.6%
<i>Other Transfers</i>					
Transfers to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	5,459,745	5,459,745	30,357	(5,429,388)	-99.4%
Total	(78,537,287)	(55,333,712)	(117,673,383)	(62,339,671)	112.7%
Estimated Impact on Fund Balance	12,862,917	9,769,339	6,152,128	(3,617,211)	-37.0%
Planned Use of Fund Balances	-	-	-	-	-

Fiscal Year 2018 – University of North Texas
Budget Detail by Fund Group – Current Funds



	Current Funds				Current Funds
	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	
REVENUES					
Net Tuition and Fees	50,240,351	250,951,092	17,643,057	-	318,834,500
Sales of Goods and Services	262,285	21,021,700	76,900,508	715,003	98,899,496
Grants and Contracts	22,659,278	2,608,285	-	73,511,720	98,779,283
State Appropriations	136,203,844	-	-	-	136,203,844
Capital Appropriations	37,562,056	-	-	-	37,562,056
Net Professional Fees	-	-	-	-	-
Gift Income	-	5,180,214	-	4,600,000	9,780,214
Investment Income	117,883	3,499,279	150,417	59,997	3,827,576
Other Revenue	58,000	866,908	207,448	-	1,132,356
Revenues	247,103,696	284,127,478	94,901,430	78,886,720	705,019,324
EXPENDITURES					
Salaries - Faculty	89,693,016	45,253,723	-	3,242,133	138,188,872
Salaries - Staff	49,718,818	59,549,489	19,393,120	4,590,579	133,252,006
Wages and Other Compensation	288,279	18,021,228	6,861,874	2,509,379	27,680,760
Benefits and Other Payroll-Related Costs	44,054,163	24,746,359	7,162,503	1,721,610	77,684,635
Cost of Goods Sold	-	1,306,992	10,993,648	-	12,300,640
Professional Fees and Services	340,933	8,748,892	830,514	2,906,246	12,826,585
Travel	1,233	8,776,108	252,145	1,523,741	10,553,228
Materials and Supplies	2,207,858	15,801,695	7,462,790	1,680,562	27,152,904
Communication and Utilities	721,112	4,743,928	4,561,646	88,149	10,114,835
Repairs and Maintenance	2,963,965	10,447,033	5,605,615	166,692	19,183,305
Rentals and Leases	347,325	6,657,633	907,111	405,102	8,317,171
Printing and Reproduction	10,640	1,304,751	479,505	224,378	2,019,274
Debt Service - Principal	-	-	-	-	-
Debt Service - Interest	-	-	-	-	-
Capital Expenditures	4,739,796	6,442,206	258,963	720,834	12,161,799
Federal and State Pass-Through Expense	11,290	-	-	141,360	152,650
Scholarships, Exemptions, and Financial Aid	12,586,351	512,907	741,319	57,521,000	71,361,577
Other Expenditures	332,536	12,404,831	4,104,434	1,401,770	18,243,571
Expenditures	208,017,317	224,717,774	69,615,187	78,843,536	581,193,813
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	(11,528,181)	(14,957,838)	(17,867,338)	-	(44,353,357)
Inter-Fund Transfer In/(Out)	(27,588,556)	1,943,361	(1,450,177)	(43,184)	(27,138,556)
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	(26,837,165)	-	-	(26,837,165)
Core Services	-	(19,328,779)	-	-	(19,328,779)
Other Inter-Unit Transfers In/(Out)	-	(45,884)	-	-	(45,884)
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	30,357	-	-	-	30,357
Transfers	(39,086,380)	(59,226,304)	(19,317,515)	(43,184)	(117,673,383)
Estimated Impact on Fund Balance	-	183,400	5,968,727	-	6,152,128
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	-	-	-	-	-
Residence Hall	-	-	-	-	-
Facilities Construction & Development	-	-	-	-	-
Debt Proceeds	-	-	-	-	-
Planned Use of Fund Balance & Debt Proceeds	-	-	-	-	-

Fiscal Year 2018 - University of North Texas
Budget Detail by Fund Group - Non-Current Funds



	Non-Current Funds				FY18
	Endowment Funds	Loan Funds	Plant and Debt	Non-Current	Allfunds
REVENUES					
Net Tuition and Fees	-	380,000	-	380,000	319,214,500
Sales of Goods and Services	-	1,000	-	1,000	98,900,496
Grants and Contracts	610,000	-	-	610,000	99,389,283
State Appropriations	-	-	-	-	136,203,844
Capital Appropriations	-	-	-	-	37,562,056
Net Professional Fees	-	-	-	-	-
Gift Income	260,000	-	-	260,000	10,040,214
Investment Income	1,180,096	-	243,704	1,423,799	5,251,375
Other Revenue	102,000	45,000	-	147,000	1,279,356
Revenues	2,152,096	426,000	243,704	2,821,799	707,841,124
EXPENDITURES					
Salaries - Faculty	-	-	-	-	138,188,872
Salaries - Staff	-	-	-	-	133,252,006
Wages and Other Compensation	-	-	-	-	27,680,760
Benefits and Other Payroll-Related Costs	-	-	-	-	77,684,635
Cost of Goods Sold	-	-	-	-	12,300,640
Professional Fees and Services	420,000	15,584	2,999,297	3,434,881	16,261,466
Travel	-	-	-	-	10,553,228
Materials and Supplies	-	-	-	-	27,152,904
Communication and Utilities	-	-	-	-	10,114,835
Repairs and Maintenance	-	-	-	-	19,183,305
Rentals and Leases	-	-	-	-	8,317,171
Printing and Reproduction	-	-	-	-	2,019,274
Debt Service - Principal	-	-	23,623,497	23,623,497	23,623,497
Debt Service - Interest	-	-	21,301,964	21,301,964	21,301,964
Capital Expenditures	-	-	136,875,259	136,875,259	149,037,058
Federal and State Pass-Through Expense	-	-	-	-	152,650
Scholarships, Exemptions, and Financial Aid	-	-	-	-	71,361,577
Other Expenditures	-	124,996	-	124,996	18,368,567
Expenditures	420,000	140,580	184,800,017	185,360,597	766,554,410
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	-	-	44,353,356	44,353,356	-
Inter-Fund Transfer In/(Out)	(450,000)	-	27,588,556	27,138,556	-
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	-	-	-	(26,837,165)
Core Services	-	-	-	-	(19,328,779)
Other Inter-Unit Transfers In/(Out)	-	-	-	-	(45,884)
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	-	-	-	-	30,357
Transfers	(450,000)	-	71,941,912	71,491,912	(46,181,471)
Estimated Impact on Fund Balance	1,282,096	285,420	(112,614,401)	(111,046,885)	(104,894,758)
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	8,921,000	8,921,000	8,921,000
GR-D Fund Balance (State Treasury)	-	-	-	-	-
Residence Hall	-	-	-	-	-
Facilities Construction & Development	-	-	-	-	-
Debt Proceeds	-	-	103,937,105	103,937,105	103,937,105
Planned Use of Fund Balance & Debt Proceeds	-	-	112,858,105	112,858,105	112,858,105

Fiscal Year 2018 – University of North Texas
Budgeted Revenue Breakout by Fund - Current Funds



	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	Current Funds
Resident Undergrad Tuition	33,194,085	188,965,360	-	-	222,159,445
Non-resident Undergrad Tuition	23,161,535	11,547,195	-	-	34,708,730
Other Undergrad Tuition	6,050,000	153,499	-	-	6,203,499
Waivers Undergrad Tuition	(15,613,128)	(58,958)	-	-	(15,672,086)
Gross Undergraduate Tuition	46,792,492	200,607,096	-	-	247,399,588
Resident Graduate Tuition	8,160,062	17,478,049	-	-	25,638,111
Non-resident Graduate Tuition	18,413,217	7,009,396	-	-	25,422,613
Other Graduate Tuition	113,014	2,574,687	-	-	2,687,701
Waivers Graduate Tuition	(3,386,872)	(14,739)	-	-	(3,401,611)
Gross Graduate Tuition	23,299,421	27,047,393	-	-	50,346,814
Fees - Instructional	354,969	20,524,097	-	-	20,879,066
Fees - Mandatory	-	67,549,616	17,458,526	-	85,008,142
Fees - Incidental	-	7,395,734	207,500	-	7,603,234
Waivers - Fees	-	(79,375)	(22,969)	-	(102,344)
Gross Fees	354,969	95,390,072	17,643,057	-	113,388,098
Disc & Allow-Tuition and Fee	(20,206,531)	(72,093,469)	-	-	(92,300,000)
Discount and Allowances	(20,206,531)	(72,093,469)	-	-	(92,300,000)
Tuition and Waiver Conversion	-	-	-	-	-
Net Tuition and Fees	50,240,351	250,951,092	17,643,057	-	318,834,500
Athletics	-	8,012,892	-	-	8,012,892
Auxiliary Enterprises	-	262,004	75,608,508	-	75,870,512
Discounts and Allowances - Auxiliaries	-	-	-	-	-
Other Sales of Goods and Services	262,285	12,746,805	1,292,000	715,003	15,016,092
Sales of Goods and Services	262,285	21,021,700	76,900,508	715,003	98,899,496
Federal Programs and Contracts	-	-	-	16,438,430	16,438,430
Federal Financial Aid	-	-	-	52,182,982	52,182,982
State Programs and Contracts	-	2,608,285	-	1,275,294	3,883,579
State Financial Aid	22,659,278	-	-	-	22,659,278
Other Grants and Contracts	-	-	-	3,615,014	3,615,014
Grants and Contracts	22,659,278	2,608,285	-	73,511,720	98,779,283
State Appropriations - General	105,542,145	-	-	-	105,542,145
State Appropriations - Additional	30,661,699	-	-	-	30,661,699
State Appropriations	136,203,844	-	-	-	136,203,844
Capital Appropriations - HEF	37,562,056	-	-	-	37,562,056
Capital Appropriations	37,562,056	-	-	-	37,562,056
Gross Professional Fees	-	-	-	-	-
Contractual Allowances and Discounts	-	-	-	-	-
Net Professional Fees	-	-	-	-	-
Gift Income	-	5,180,214	-	4,600,000	9,780,214
Investment Income	117,883	3,499,279	150,417	59,997	3,827,576
Other Revenue	58,000	866,908	207,448	-	1,132,356
Revenues	247,103,696	284,127,478	94,901,430	78,886,720	705,019,324

Fiscal Year 2018 – University of North Texas
Budget - Current Funds by Quarter



Revenues	Q1 FYTD	Q2 FYTD	Q3 FYTD	Q4 FYTD
	Estimate	Estimate	Estimate	Budget
Net Tuition and Fees	268,192,262	277,331,156	319,092,111	318,834,500
Sales of Goods and Services	42,399,117	79,087,962	86,124,793	98,899,496
Grants and Contracts	5,857,114	55,541,487	62,361,064	98,779,283
State Appropriations	121,271,687	127,155,752	133,043,737	136,203,844
Capital Appropriations	37,562,056	37,562,056	37,562,056	37,562,056
Net Professional Fees	-	-	-	-
Gift Income	1,034,500	6,251,175	9,449,942	9,780,214
Investment Income	752,485	1,482,485	3,058,023	3,827,576
Other Revenue	250,378	491,091	752,611	1,132,356
Total Revenues	477,319,599	584,903,163	651,444,337	705,019,324
Expenditures				
Salaries - Faculty	42,056,639	84,676,161	126,702,965	138,188,872
Salaries - Staff	35,067,255	70,727,299	108,448,050	133,252,006
Wages and Other Compensation	7,778,787	15,573,331	21,939,596	27,680,760
Benefits and Other Payroll-Related Costs	16,619,244	35,938,157	55,271,078	77,684,635
Cost of Goods Sold	3,318,900	6,306,057	8,943,251	12,300,640
Professional Fees and Services	2,798,200	6,054,421	8,563,616	12,826,585
Travel	2,284,878	4,517,434	7,515,542	10,553,228
Materials and Supplies	5,539,688	11,689,298	17,874,794	27,152,904
Communication and Utilities	1,919,077	4,357,588	7,270,580	10,114,835
Repairs and Maintenance	3,810,404	8,347,708	11,988,494	19,183,305
Rentals and Leases	1,867,721	3,951,999	6,249,579	8,317,171
Printing and Reproduction	390,702	805,157	1,233,346	2,019,274
Capital Expenditures	3,207,221	7,834,011	10,493,332	12,161,799
Federal and State Pass-Through Expense	152,650	152,650	152,650	152,650
Scholarships, Exemptions, and Financial Aid	20,512,626	68,264,085	68,689,976	71,361,577
Other Expenditures	6,299,846	10,036,552	13,918,993	18,243,571
Total Expenditures	153,623,839	339,231,908	475,255,843	581,193,813
Transfers				
<i>Intra-campus Transfers Between Funds:</i>				
Debt Service Transfer In (Out)	(11,088,339)	(22,176,678)	(33,265,018)	(44,353,357)
Inter-Fund Transfer In/(Out)	(27,138,556)	(27,138,556)	(27,138,556)	(27,138,556)
<i>Transfers Between UNTS Components:</i>				
Shared Services	(6,709,291)	(13,418,582)	(20,127,873)	(26,837,165)
Core Services	(4,832,195)	(9,664,390)	(14,496,584)	(19,328,779)
Other Inter-Unit Transfers In/(Out)	(11,471)	(22,942)	(34,413)	(45,884)
<i>Other Transfers:</i>				
Transfer to Other State Agencies In/(Out)	-	-	-	-
Other Legislative Transfers In/(Out)	30,357	30,357	30,357	30,357
Total Transfers	(49,749,495)	(72,390,791)	(95,032,087)	(117,673,383)



UNT Health Science Center Budget Overview

Executive Summary and Highlights

Strategic Impact and Major Goals Addressed by FY 2018 Budget

UNT Health Science Center is committed through extraordinary teamwork to become ***One University, built on values, defining and producing the providers of the future***. Reflecting UNTHSC's core values, this year's budget process was more transparent and inclusive than ever before.

All Cabinet members were invited to budget review sessions, along with members of the president's councils, which are advisory teams who address specific issues to offer input and potential solutions to UNTHSC leadership.

Budget decisions were tied to the strategic plans of the university and the UNT System, as well as to the top funding priorities of the Cabinet. Those institutional priorities are:

- Applying market adjustments for faculty and staff salaries, reflecting our commitment to People and Teamwork
- Funding additional positions for our compliance team, reflecting our commitment to Sustainable Growth, Finance and Resources
- Bolstering our research office, reflecting our commitment to Learning and Discovery
- Investing in faculty positions for the School of Health Professions, reflecting our commitment to Quality Experiences for Lifetime Success

Significant resources continue to support UNTHSC's capital improvement plan, which includes one major construction project underway and a necessary education renovation set to begin. Progress continues on the Interdisciplinary Research and Education Building (IREB), which will be home to the UNT System College of Pharmacy, the TCU and UNTHSC School of Medicine and the North Texas Eye Research Institute when it opens in late 2018. In March, the institution plans to begin renovations on the anatomy lab, which was built in 1982 and serves more than 560 students each year, although originally designed for about half that number.

The last fiscal year included several milestones, including:

- The UNT System College of Pharmacy reached full accreditation in July, less than two months after graduating its first class of 68 student pharmacists.
- The TCU and UNTHSC School of Medicine hired the first dean-level position in the nation devoted solely to the art of communication with patients.
- A new State law was passed to repeal the prohibition of UNTHSC awarding an M.D. degree.

In the coming year, UNTHSC plans to strengthen its research and compliance teams, continue the hard work toward accreditation of the TCU and UNTHSC School of Medicine, and create new affiliations with regional hospitals and health care systems in North Texas, along with working toward a community solution to bring more residency slots to the area.

Revenues

Overall, UNTHSC expects to generate \$245.2 million in revenue over the next fiscal year. This represents a net decrease of \$50.5 million (-17%) from FY 2017. The majority of this decrease is attributable to the partnership with Acclaim, in which a significant number of UNTHSC faculty transferred employment and patient base to Acclaim. Moreover, the budget reflects the discontinuation of the Fort Worth prison contract.

State Appropriations

State appropriations, including HEF, reflect an increase of \$6.1 million (6%) from the FY 2017 budget. This change is attributable to additional Tuition Revenue Bond (TRB) proceeds specific to the Interdisciplinary Research and Education Building, as well as State-paid benefits.

Tuition and Fees

Net tuition and fees are expected to increase by \$2.1 million (7%) from the FY 2017 budget, primarily due to increased UNT System College of Pharmacy enrollment.

Sales of Goods & Services

Sales of Goods & Services reflect a net increase of \$23.5 million (150%) from the FY 2017 budget. This is primarily the result of the reclassification of revenue – previously reported as Grants and Contracts – generated by medical services provided to incarcerated patients.

Grants and Contracts, Professional Fees

Grants and contracts are expected to decrease from the FY 2017 budget by \$58.8 million (-62%), while Net Professional Fees are expected decreased by \$19.3 million (-58%). Both are mostly attributable to the partnership with Acclaim, in which the patient billings, along with its associated revenue, are handled and collected by Acclaim.

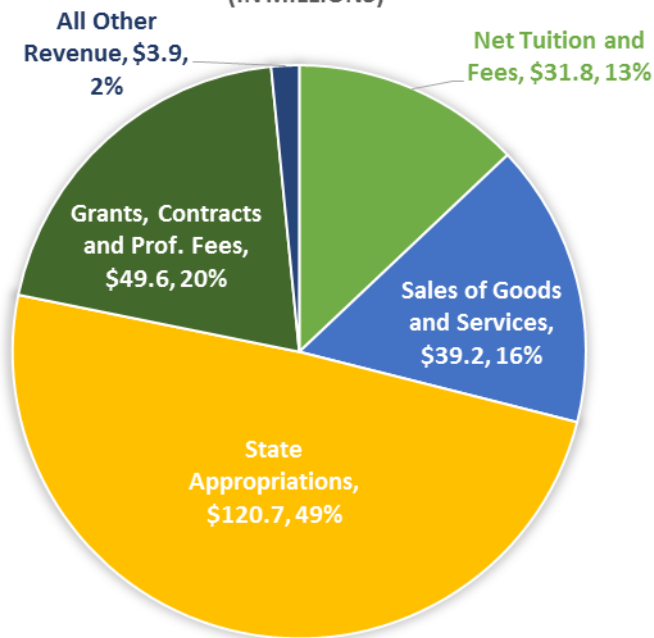
Gift Income

Gift income will decrease from the FY 2017 budget since UNTHSC will provide for some of TCU and UNTHSC School of Medicine's expenses, such as salaries and facility costs, based on the revised collaboration agreement.

Expenditures

Total expenditures are estimated at \$210.6 million over the next fiscal year. This represents an overall decrease of \$52.8 million (-20%) from FY 2017. The majority of this decrease is attributable to the partnership with Acclaim, in which a significant number of UNTHSC faculty transferred employment to Acclaim.

FY 2018 BUDGETED REVENUES
(IN MILLIONS)



Personnel Costs

Personnel costs represent 70% of the UNTHSC expenditure budget. Overall, UNTHSC is projecting a net decrease of \$29.2 million (-17%) from the FY 2017 budget driven by the partnership with Acclaim, in which a significant number of UNTHSC faculty transferred employment to Acclaim. This reduction is being offset by an increase to staff salaries for market adjustments, as well as additional hiring to augment the DNA Laboratory and to strengthen the compliance programs.

FTE Categories	FY 2016 Budget	FY 2017 Budget	FY 2018 Budget
Administrators	30.0	27.7	26.6
Faculty	458.4	454.5	308.0
Other Staff	1099.4	1017.2	974.4
Total FTE	1587.8	1499.4	1309.0

Professional Fees and Services

Professional fees and services are expected to decrease by \$9 million (-23%) from the FY 2017 budget, as a significant contract to provide medical services to incarcerated patients was not renewed.

Materials and Supplies, Rentals and Leases

Materials and supplies, along with rentals and leases, are expected to decrease by \$6.1 million (-37%) from the FY 2017 budget, as expenditures which had been borne by UNT Health are now being assumed by Acclaim.

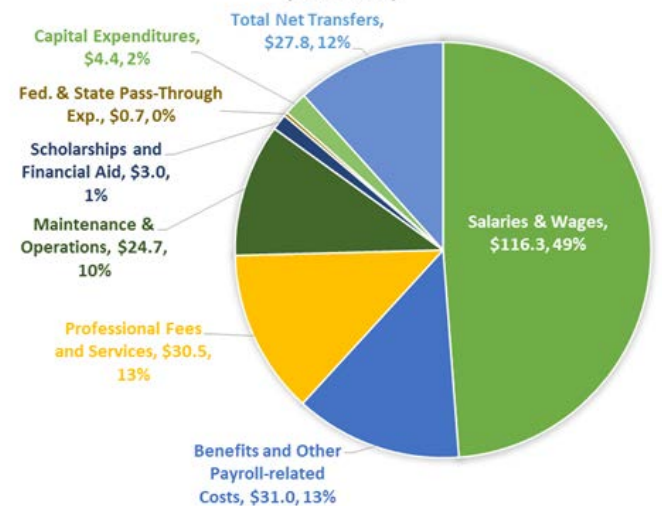
Scholarships, Exemptions and Financial Aid

Scholarships and financial aid are expected to decrease by \$2.1 million (-41%) from the FY 2017 budget, due to a reclassification of expenditures.

Transfers

Net Transfers increased \$4.8 million (21%) from FY 2017, a part of which reflects UNTHSC’s portion of the shared UNT System costs (\$0.3 million increase), as well as additional debt service cost associated with bond issuances from the prior fiscal year.

FY 2018 BUDGETED EXPENDITURES AND TRANSFERS
(IN MILLIONS)



Reserves and Capital Expenditures

Capital Expenditures

As part of the capital plan, UNTHSC will issue Revenue Financing System (RFS) bonds and commercial paper (CP) for both new endeavors and previously-approved projects.

New project: Gross Anatomy Lab Renovation (\$2.47 million-RFS)

Previously-approved project: Interdisciplinary Research & Education Building (\$12.57 million-CP)



Fiscal Year 2018 Summary – Current Funds

Budget for Revenues, Expenditures & Other Changes in Fund Balances

	FY 2017 Forecast (Actuals)	FY 2017 Budget	FY 2018 Budget	Budget Increases (Decreases) from FY2017 to FY2018	
				Amount	Percent
Revenues					
Net Tuition and Fees	30,341,000	29,642,154	31,750,280	2,108,126	7.1%
Sales of Goods and Services	42,000,000	15,715,337	39,225,000	23,509,663	149.6%
Grant and Contracts	34,686,000	94,703,991	35,900,000	(58,803,991)	-62.1%
State Appropriations	99,326,000	97,544,669	103,643,662	6,098,993	6.3%
Capital Appropriations - HEF	17,091,856	17,091,856	17,091,856	-	-
Net Professional Fees	17,349,000	33,013,420	13,722,182	(19,291,238)	-58.4%
Gift Income	2,559,000	4,879,994	1,500,000	(3,379,994)	-69.3%
Investment Income	2,491,000	2,998,587	2,240,000	(758,587)	-25.3%
Other Revenue	350,000	94,662	120,000	25,338	26.8%
Total	246,193,856	295,684,670	245,192,980	(50,491,690)	-17.1%
Expenditures					
Personnel Costs	139,000,000	176,504,067	147,300,000	(29,204,067)	-16.5%
Supplies and Other	26,957,000	30,619,902	22,670,000	(7,949,902)	-26.0%
Travel	2,001,000	2,337,015	2,000,000	(337,015)	-14.4%
Purchased Services	36,395,000	39,465,623	30,500,000	(8,965,623)	-22.7%
Scholarships, Exemptions, and Financial Aid	3,000,000	5,103,243	3,000,000	(2,103,243)	-41.2%
Debt Service - Principal	-	-	-	-	-
Capital Outlay	5,125,000	4,561,270	4,400,000	(161,270)	-3.5%
Federal and State Pass-Through Expense	650,000	-	700,000	700,000	-
Interest Expense and Fiscal Charges	4,773,000	4,772,770	-	(4,772,770)	-100.0%
Total	217,901,000	263,363,890	210,570,000	(52,793,890)	-20.0%
Excess Income Over Expenditures	28,292,856	32,320,780	34,622,980	2,302,200	7.1%
Transfers					
<i>Interfund Transfers and Transfers Between UNTS Components</i>					
Transfers In/(Out)	(17,954,427)	(23,357,198)	(20,509,643)	2,847,555	-12.2%
<i>Other Transfers</i>					
Transfers to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	(602,325)	397,675	(7,289,981)	(7,687,656)	-1933.2%
Total	(18,556,752)	(22,959,523)	(27,799,624)	(4,840,101)	21.1%
Estimated Impact on Fund Balance	9,736,104	9,361,257	6,823,356	(2,537,901)	-27.1%
Planned Use of Fund Balances	-	-	-	-	-

Fiscal Year 2018 – UNT Health Science Center
Budget Detail by Fund Group – Current Funds



	Current Funds				
	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	Current Funds
REVENUES					
Net Tuition and Fees	11,594,750	20,155,530	-	-	31,750,280
Sales of Goods and Services	-	38,800,000	425,000	-	39,225,000
Grants and Contracts	-	-	-	35,900,000	35,900,000
State Appropriations	103,643,662	-	-	-	103,643,662
Capital Appropriations	17,091,856	-	-	-	17,091,856
Net Professional Fees	-	13,722,182	-	-	13,722,182
Gift Income	-	-	-	1,500,000	1,500,000
Investment Income	40,000	2,200,000	-	-	2,240,000
Other Revenue	-	120,000	-	-	120,000
Revenues	132,370,268	74,997,712	425,000	37,400,000	245,192,980
EXPENDITURES					
Salaries - Faculty	31,271,344	8,543,004	-	8,185,652	48,000,000
Salaries - Staff	36,238,530	13,063,489	231,168	11,766,814	61,300,000
Wages and Other Compensation	1,895,443	3,529,887	54,800	1,519,871	7,000,000
Benefits and Other Payroll-Related Costs	18,711,720	7,558,187	55,480	4,674,614	31,000,000
Cost of Goods Sold	-	18,613	-	1,387	20,000
Professional Fees and Services	3,840,875	18,962,972	10,600	7,685,554	30,500,000
Travel	-	1,170,677	-	829,323	2,000,000
Materials and Supplies	2,681,554	5,995,108	13,344	309,994	9,000,000
Communication and Utilities	133,822	2,159,023	5,503	101,653	2,400,000
Repairs and Maintenance	481,657	2,493,701	13,095	511,546	3,500,000
Rentals and Leases	6,600	1,379,411	-	113,989	1,500,000
Printing and Reproduction	96,722	503,356	5,147	144,775	750,000
Debt Service - Principal	-	-	-	-	-
Debt Service - Interest	-	-	-	-	-
Capital Expenditures	3,318,510	519,510	20,000	541,980	4,400,000
Federal and State Pass-Through Expense	-	-	-	700,000	700,000
Scholarships, Exemptions, and Financial Aid	1,063,745	1,617,407	-	318,848	3,000,000
Other Expenditures	1,807,740	2,697,236	8,863	986,161	5,500,000
Expenditures	101,548,261	70,211,578	418,000	38,392,161	210,570,000
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	(15,891,925)	-	-	-	(15,891,925)
Inter-Fund Transfer In/(Out)	(4,000,000)	400,000	-	1,000,000	(2,600,000)
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	-	-	-	-
Core Services	-	(2,017,718)	-	-	(2,017,718)
Other Inter-Unit Transfers In/(Out)	-	-	-	-	-
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	(7,289,981)	-	-	-	(7,289,981)
Transfers	(27,181,906)	(1,617,718)	-	1,000,000	(27,799,624)
Estimated Impact on Fund Balance	3,640,101	3,168,416	7,000	7,839	6,823,356
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	-	-	-	-	-
Residence Hall	-	-	-	-	-
Facilities Construction & Development	-	-	-	-	-
Debt Proceeds	-	-	-	-	-
Planned Use of Fund Balance & Debt Proceeds	-	-	-	-	-

Fiscal Year 2018 – UNT Health Science Center
Budget Detail by Fund Group – Non-Current Funds



	Non-Current Funds				FY18
	Endowment Funds	Loan Funds	Plant and Debt	Non-Current	Allfunds
REVENUES					
Net Tuition and Fees	-	-	-	-	31,750,280
Sales of Goods and Services	-	-	-	-	39,225,000
Grants and Contracts	-	-	-	-	35,900,000
State Appropriations	-	-	-	-	103,643,662
Capital Appropriations	-	-	-	-	17,091,856
Net Professional Fees	-	-	-	-	13,722,182
Gift Income	-	-	-	-	1,500,000
Investment Income	1,400,000	-	-	1,400,000	3,640,000
Other Revenue	-	43,150	-	43,150	163,150
Revenues	1,400,000	43,150	-	1,443,150	246,636,130
EXPENDITURES					
Salaries - Faculty	-	-	-	-	48,000,000
Salaries - Staff	-	-	-	-	61,300,000
Wages and Other Compensation	-	-	-	-	7,000,000
Benefits and Other Payroll-Related Costs	-	-	-	-	31,000,000
Cost of Goods Sold	-	-	-	-	20,000
Professional Fees and Services	-	-	-	-	30,500,000
Travel	-	-	-	-	2,000,000
Materials and Supplies	-	-	-	-	9,000,000
Communication and Utilities	-	-	-	-	2,400,000
Repairs and Maintenance	-	-	-	-	3,500,000
Rentals and Leases	-	-	-	-	1,500,000
Printing and Reproduction	-	-	-	-	750,000
Debt Service - Principal	-	-	10,490,808	10,490,808	10,490,808
Debt Service - Interest	-	-	5,401,117	5,401,117	5,401,117
Capital Expenditures	-	-	62,390,000	62,390,000	66,790,000
Federal and State Pass-Through Expense	-	-	-	-	700,000
Scholarships, Exemptions, and Financial Aid	-	-	-	-	3,000,000
Other Expenditures	-	15,000	-	15,000	5,515,000
Expenditures	-	15,000	78,281,925	78,296,925	288,866,925
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	-	-	15,891,925	15,891,925	-
Inter-Fund Transfer In/(Out)	(1,400,000)	-	4,000,000	2,600,000	-
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	-	-	-	-
Core Services	-	-	-	-	(2,017,718)
Other Inter-Unit Transfers In/(Out)	-	-	-	-	-
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	-	-	-	-	(7,289,981)
Transfers	(1,400,000)	-	19,891,925	18,491,925	(9,307,699)
Estimated Impact on Fund Balance	-	28,150	(58,390,000)	(58,361,850)	(51,538,494)
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	-	-	-	-	-
Residence Hall	-	-	-	-	-
Facilities Construction & Development	-	-	-	-	-
Debt Proceeds	-	-	59,740,000	59,740,000	59,740,000
Planned Use of Fund Balance & Debt Proceeds	-	-	59,740,000	59,740,000	59,740,000

Budgeted Revenue Breakout by Fund – Current Funds

	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	Current Funds
Resident Undergrad Tuition	-	-	-	-	-
Non-resident Undergrad Tuition	-	-	-	-	-
Other Undergrad Tuition	-	-	-	-	-
Waivers Undergrad Tuition	-	-	-	-	-
Gross Undergraduate Tuition	-	-	-	-	-
Resident Graduate Tuition	11,230,854	12,677,006	-	-	23,907,860
Non-resident Graduate Tuition	3,621,496	1,273,146	-	-	4,894,642
Other Graduate Tuition	-	-	-	-	-
Waivers Graduate Tuition	(1,921,226)	(620,100)	-	-	(2,541,326)
Gross Graduate Tuition	12,931,124	13,330,052	-	-	26,261,175
Fees - Instructional	23,000	4,056,077	-	-	4,079,077
Fees - Mandatory	-	3,709,548	-	-	3,709,548
Fees - Incidental	-	356,375	-	-	356,375
Waivers - Fees	-	-	-	-	-
Gross Fees	23,000	8,122,000	-	-	8,145,000
Disc & Allow-Tuition and Fee	(1,359,374)	(1,296,521)	-	-	(2,655,895)
Discount and Allowances	(1,359,374)	(1,296,521)	-	-	(2,655,895)
Tuition and Waiver Conversion	-	-	-	-	-
Net Tuition and Fees	11,594,750	20,155,530	-	-	31,750,280
Athletics	-	-	-	-	-
Auxiliary Enterprises	-	-	425,000	-	425,000
Discounts and Allowances - Auxiliaries	-	-	-	-	-
Other Sales of Goods and Services	-	38,800,000	-	-	38,800,000
Sales of Goods and Services	-	38,800,000	425,000	-	39,225,000
Federal Programs and Contracts	-	-	-	28,500,000	28,500,000
Federal Financial Aid	-	-	-	-	-
State Programs and Contracts	-	-	-	4,400,000	4,400,000
State Financial Aid	-	-	-	-	-
Other Grants and Contracts	-	-	-	3,000,000	3,000,000
Grants and Contracts	-	-	-	35,900,000	35,900,000
State Appropriations - General	88,550,583	-	-	-	88,550,583
State Appropriations - Additional	15,093,079	-	-	-	15,093,079
State Appropriations	103,643,662	-	-	-	103,643,662
Capital Appropriations - HEF	17,091,856	-	-	-	17,091,856
Capital Appropriations	17,091,856	-	-	-	17,091,856
Gross Professional Fees	-	27,764,438	-	-	27,764,438
Contractual Allowances and Discounts	-	(14,042,256)	-	-	(14,042,256)
Net Professional Fees	-	13,722,182	-	-	13,722,182
Gift Income	-	-	-	1,500,000	1,500,000
Investment Income	40,000	2,200,000	-	-	2,240,000
Other Revenue	-	120,000	-	-	120,000
Revenues	132,370,268	74,997,712	425,000	37,400,000	245,192,980

Fiscal Year 2018 – UNT Health Science Center
Budget - Current Funds by Quarter



Revenues	Q1 FYTD Estimate	Q2 FYTD Estimate	Q3 FYTD Estimate	Q4 FYTD Budget
Net Tuition and Fees	12,000,000	26,020,000	28,010,000	31,750,280
Sales of Goods and Services	5,240,000	25,780,000	31,100,000	39,225,000
Grants and Contracts	8,980,000	18,220,000	26,930,000	35,900,000
State Appropriations	98,720,583	100,360,583	102,000,583	103,643,662
Capital Appropriations	17,091,856	17,091,856	17,091,856	17,091,856
Net Professional Fees	4,500,000	7,500,000	11,500,000	13,722,182
Gift Income	300,000	530,000	980,000	1,500,000
Investment Income	560,000	1,120,000	1,680,000	2,240,000
Other Revenue	30,000	60,000	90,000	120,000
Total Revenues	147,422,439	196,682,439	219,382,439	245,192,980
Expenditures				
Salaries - Faculty	11,535,000	23,207,000	34,658,000	48,000,000
Salaries - Staff	14,773,000	29,644,000	45,223,000	61,300,000
Wages and Other Compensation	1,865,000	3,556,000	5,065,000	7,000,000
Benefits and Other Payroll-Related Costs	8,258,000	17,297,000	25,529,000	31,000,000
Cost of Goods Sold	5,000	9,000	13,000	20,000
Professional Fees and Services	7,350,000	14,749,000	22,501,000	30,500,000
Travel	414,000	727,000	1,377,000	2,000,000
Materials and Supplies	1,562,000	2,995,000	4,576,000	9,000,000
Communication and Utilities	497,000	1,016,000	1,653,000	2,400,000
Repairs and Maintenance	1,005,000	1,714,000	2,725,000	3,500,000
Rentals and Leases	358,000	629,000	1,091,000	1,500,000
Printing and Reproduction	133,000	186,000	393,000	750,000
Capital Expenditures	2,229,000	3,216,000	3,372,000	4,400,000
Federal and State Pass-Through Expense	-	-	-	700,000
Scholarships, Exemptions, and Financial Aid	960,000	2,033,000	2,312,000	3,000,000
Other Expenditures	1,064,000	2,380,000	3,786,000	5,500,000
Total Expenditures	52,008,000	103,358,000	154,274,000	210,570,000
Transfers				
<i>Intra-campus Transfers Between Funds:</i>				
Debt Service Transfer In (Out)	(3,970,000)	(7,950,000)	(11,920,000)	(15,891,925)
Inter-Fund Transfer In/(Out)	(270,000)	(730,000)	(1,680,000)	(2,600,000)
<i>Transfers Between UNTS Components:</i>				
Shared Services	-	-	-	-
Core Services	-	(2,017,718)	(2,017,718)	(2,017,718)
Other Inter-Unit Transfers In/(Out)	-	-	-	-
<i>Other Transfers:</i>				
Transfer to Other State Agencies In/(Out)	-	-	-	-
Other Legislative Transfers In/(Out)	(7,289,981)	(7,289,981)	(7,289,981)	(7,289,981)
Total Transfers	(11,529,981)	(17,987,699)	(22,907,699)	(27,799,624)



UNT Dallas Budget Overview

Executive Summary and Highlights

Strategic Impact and Major Goals Addressed by FY 2018 Budget

The University of North Texas at Dallas continues to grow in both enrollment and in the number of facilities on and off campus. The university has transitioned from start-up into growth stage with record enrollment numbers and its commitment to empower, transform and strengthen the lives of students. The first residence hall on campus opens in Fall 2017 and is expected to house Presidential Jaguar Scholars, new incoming students, and several continuing students. The excitement continues to build as we focus on first-year experience programming such as Cub Camp and Jag PAWS Success. Cub Camp provides first-year students an immersive introduction to campus resources, campus connectedness through student organizations, as well as building peer relationships especially for those living on campus. Jag PAWS Success will host several workshops for freshman students to build skill sets around professionalism, academic, wellness, and social success.

In addition to first-year experience programming, the university has invested in several strategic initiatives focused on academic success. The UNT Dallas block schedule launched in Fall 2016, enrolled more than 270 Freshmen in 15 cohorts covering four Meta majors (Business, the Arts, STEM, and College Readiness). The goal is to foster a sense of community and belonging among students that would lead to greater persistence and higher graduation rates. Based on the student's declared major and coursework, a cohort was selected and the student was enrolled in 4-5 classes. Looking at persistence, 87% of freshmen in both the 2015 and 2016 class were retained from fall to spring. A significant improvement was measured in GPA, a year-to-year increase of 12.5%. In addition to this, students in the 2016 class also held more SCH compared to the 2015 class (14.606 vs 14.539). Both of these were much higher than the university average (11.502 SCH average for all students). For Fall 2017, two additional cohorts have been added, as well as a new Meta major in Education. As part of the block schedule, freshmen are enrolled in UGST 1100 Learning Foundations. This seminar class focuses on college readiness skills, coping with stress, goal setting, critical thinking, getting involved on campus, etc. Improvements to this course include discussion of learning theories and growth mindset. Emphasis has been placed on establishing learning communities within each cohort, with the UGST instructor serving as lead facilitator in cohort faculty meetings. These meetings will allow faculty and staff to collaborate about student needs, share relevant early alert information with Academic Advising, and to create linkages between courses. It is our hope that our students will see continued academic success through programs such as this one.

The University of North Texas at Dallas College of Law extends a shared commitment with UNT Dallas to diversify educational opportunities. The UNT Dallas College of Law (COL) earned provisional accreditation from the American Bar Association (ABA) during summer 2017. The ABA decision affirms the COL vision for diverse and quality legal education. The mission to provide affordable access to education with an annual tuition that is significantly lower than all other law schools, public or private, in Texas. Furthermore, UNT Dallas College of Law is the only law school in Dallas offering night programs. Construction on the former municipal building in downtown Dallas is underway in preparation for the College of Law to expand into this location in January 2019.

Construction on the new Student Learning and Success Center (SLSC) will begin this fiscal year and expected completion is set for January 2019. Planned use of this space includes a one-stop-shop for student support services. Students will experience a central location for advising, registration, financial aid, tutoring, and much more. Additional space is planned for large events, a modern library, and a student operated radio station. In addition, the amphitheater planned next to the SLSC will solidify the building as the focal point of the university. Construction on the amphitheater is scheduled to begin near the completion of the SLSC.

The university is enthusiastic about reaching a strategic goal of 5,000 students by Fall 2020. UNT Dallas launched its new “Pathways” marketing campaign, an enrolment growth and branding initiative connected to the university mission statement: Through education and community connectedness, UNT Dallas aspires to be the pathway to social mobility in its primary market.

Bilingual Education is one of five priority programs identified in the UNT Dallas Strategic Plan. The Emerging Teacher Institute (ETI) secured funding from Raise Your Hand Texas (Charles Butt Foundation) to provide scholarships for future bilingual teachers. The identification and selection process will take place this fiscal year, scholarships will be granted beginning Fall 2018. UNT Dallas was one of only 10 programs to receive this elite award; in North Texas only SMU and UNT Dallas were selected. The Emerging Teacher Institute has also secured funding from private foundations in order to hire additional staff dedicated to equipping UNT Dallas students to become some of the best bilingual educators in Texas.

Also focused on community connectedness, UNT Dallas has increased efforts and resources to strengthen our partnerships with surrounding school districts and community colleges. The university will begin its early college high school program at Sunset and Lincoln this fall; and continues the second year at Seagoville. The University of North Texas at Dallas received a \$2.58 million award through two grants from the U.S. Department of Education in support of TRIO Upward Bound programming. The five-year Upward Bound program will allow the university to better serve high schools in North Texas. Upward Bound programming will begin this fall at UNT Dallas, targeting 60 high school students each year (120 total) in grades 9-12 from Sunset, Lincoln, Kathlyn Gilliam, Seagoville, Lancaster, and South Oak Cliff High Schools. The UNT Dallas program will encourage lower income and potential first-generation college students to complete secondary school, enroll in postsecondary education and publicize the availability of – as well as facilitate the application for – student financial assistance for persons who seek to pursue postsecondary education or complete these programs. These are the first Upward Bound grants UNT Dallas has received since opening in 2010. Other community efforts are taking place through the Caruth Police Institute and their community outreach programs as well as the Urban SERCH Institute and its Community Leadership Academy sponsored by United Way.

Revenues

State Appropriations

FY 2018 will be the first year that UNT Dallas College of Law state appropriations are included with UNT Dallas. In the previous fiscal year, state appropriations dedicated to the College of Law were categorized as Legislative Transfers. State Appropriations for FY 2018 total \$27.8 million and represents an 12.7% increase from FY 2017, but does not represent the complete percentage change. In order to provide a clear comparison of percentage change, amounts included in State Appropriations and Legislative

Transfers for FY 2017 total \$29.1 million as compared to FY 2018 total \$27.8 million; which represents a \$1.3 million reduction or 4.5% decrease. The reduction is isolated to non-formula support items that impact both UNT Dallas and UNT Dallas College of Law. Tuition Revenue Bond and Higher Education Fund revenues remain stable.

Tuition and Fees

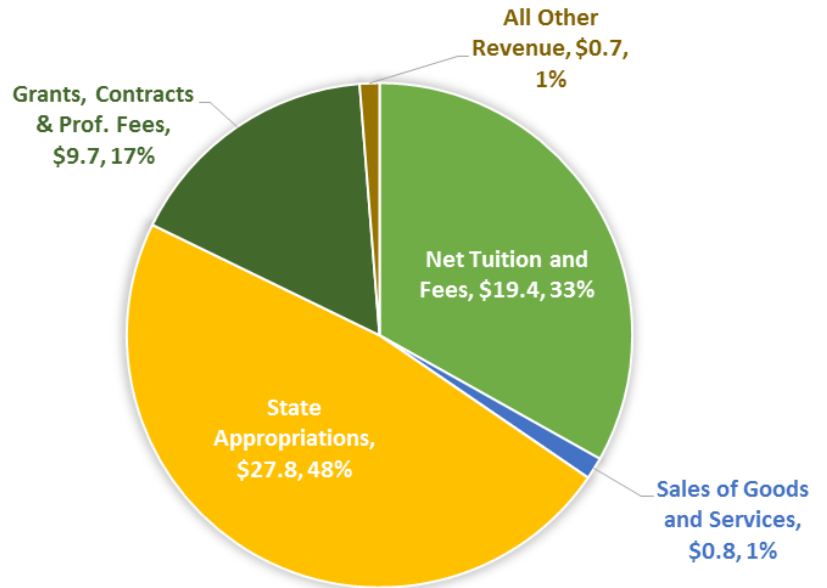
UNT Dallas is projecting a growth of 15% in semester credit hour production and no tuition increase. UNT Dallas College of Law is projecting a 4.8% decrease in semester credit hour production with a nominal tuition increase. Decreased semester credit hour production is due to a smaller incoming cohort than previous years. UNT Dallas College of Law received provisional accreditation during summer 2017; which impacted the number of applications submitted for the new cohort. Most applications and admission decisions happen in mid spring. Additionally, increased admission standards have resulted in less applications converted into enrolled students than in the previous year. There has also been a change in the ratio of full-time to part-time students; with less full-time students being enrolled than previous years. UNT Dallas (including COL) has a strategic plan target of 3,480 students (headcount) enrolled for Fall 2017. All leading indicators are positive this goal will be reached.

In order to further align the budget with the Annual Financial Reporting (AFR) process; there are changes regarding budget treatment for discounts & allowances (D&A) in 2018. This realignment effects only the budget categories and produces a net zero impact to fund balance. In FY 2017 the budget placed amounts for institutionally funded scholarships, mandated set-asides, and exemptions in an expense budget category, "Scholarships, Exemptions, and Financial Aid". In FY 2018 these amounts are being placed in a revenue budget category "Net Tuition and Fees" as a contra-revenue. Due to this realignment, a comparison of Net Tuition and Fees from FY 2017 to FY 2018 will be misleading. To provide a better comparison, if the D&A changes are removed (reduce FY 2017 Net Tuition and Fees budget by \$4M; from \$20.5M to \$16.5M), the university estimates a 17% increase in Net Tuition and Fees; \$16.5M in FY 2017 vs. \$19.4M in FY 2018.

Grant and Contracts

Faculty and Staff have been increasingly active in pursuing grant funding from Federal, State, and Private sources. UNT Dallas received a \$2.58 million award through two grants from the U.S. Department of Education in support of TRIO Upward Bound programming. The funding of Upward Bound programming represents the institution's largest federal award specific to improving college readiness and student

FY 2018 BUDGETED REVENUES
(IN MILLIONS)



retention in the history of the university. UNT Dallas has also received an award from Wipro Ltd., a leading global information technology, consulting and business process services company. The three-year program, funded entirely by Wipro, comprises of a rigorous selection process that will identify 24 experienced science teachers from grades K-12 within the Greater DFW area to participate in the program each year (serving 72 Fellows in total). The Wipro SEF program is scheduled to begin in August 2017. Also, the School of Counseling & Human Services has received one-year funding from United Way to focus on mental health initiatives in southern Dallas.

A large portion of grant revenue will be provided by Financial Aid awards that include PELL Grants and Texas Grants. UNT Dallas has received increased allocation amounts in both PELL Grant and Texas Grant financial aid programs. There is a positive correlation between enrollment growth and financial aid programs at UNT Dallas; as the university grows in student headcount the allocation provided through Federal and State financial aid programs will also increase.

Overall Grant and Contract Income is budgeted to increase 40.3% from \$6.9 million to \$9.7 million.

Gift Income

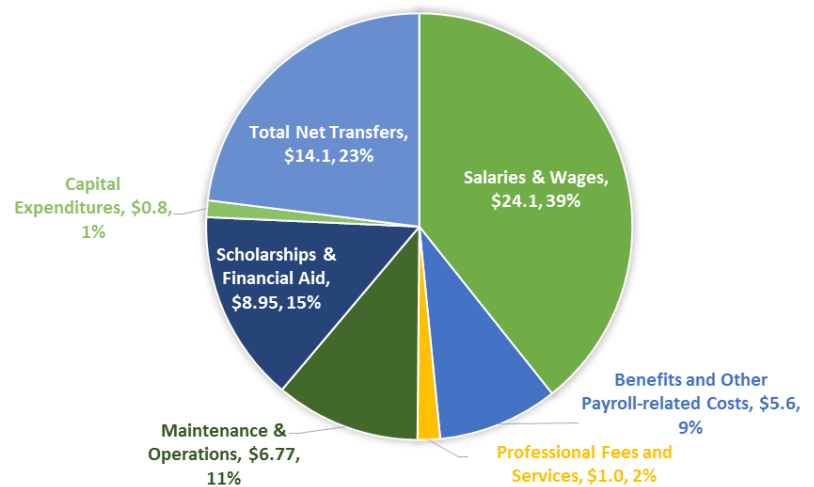
Emphasis has been placed on increasing philanthropic support; the Office of University Advancement will focus on select areas in FY 2018 that include: contributions for spendable scholarships, establishing/growing endowments, and capital project funding. Budget for gift income is expected to remain flat; the difference in FY 2018 is that the budget is split between current (\$500K) and non-current (\$600K) as opposed to FY 2017 where the budget was fully in current funds (\$1 Million).

Expenditures

Faculty and Staff Salaries and Wages

The university will transform into a residential life campus Fall 2017; the day the first Residence Hall opens. An exciting new chapter for the university comes with a need to enhance the University Police department. The University Police department started providing 24/7 coverage in August 2017. This change required an additional \$216K in police officer salaries from FY 2017 to FY 2018. The Residence Hall will also employ five new positions to provide staff coverage around the clock and administrative support. Both UNT Dallas and UNT Dallas College of Law have created a merit/equity pool of approximately 2.5%. Leadership feels it is important that during our growth and in times we continue to ask more of our employees; we equally recognize those employees who provide valuable contributions to the university.

FY 2018 BUDGETED EXPENDITURES AND TRANSFERS
(IN MILLIONS)



In response to enrollment growth, the university added two new faculty positions and increased the budget for adjunct faculty/summer instruction. A handful of new positions in student support service areas have been added for FY 2018. All other new positions are being funded from outside sources that include grants and/or donations.

Overall salaries and wages are expected to increase from \$21.5 million to \$24.1 million or 12%.

Benefits

	FY 2016	FY 2017	FY 2018
FTE Categories	Budget	Budget	Budget
Administrators	26.0	24.0	25.0
Faculty	126.0	140.0	153.0
Other Staff	126.0	173.0	212.0
Total FTE	278.0	337.0	390.0

Corresponding with an increase in salaries and wages, payroll related costs will increase in 2018. Payroll related costs are estimated at 25% for full-time employees, 15% for part-time/hourly employees and 2% for student hourly employees. The global percentages have been derived from historical data. As the university collects more statutory tuition and general revenue appropriations from the state decrease; benefit proportionality changes. In 2017, benefit proportionality was budgeted at 76% GR and 24% GRD; in 2018 the budget for benefit proportionality has been updated to 70% General Revenue (GR) and 30% General Revenue-Dedicated (GRD). Estimated allocation for state funded payroll related costs in 2018 is \$3.7 million.

Benefits and Other Payroll Related Costs are expected to increase 7.7% or from \$5.2 million to \$5.6 million.

Scholarships and Financial Aid

UNT Dallas strategic initiative is to remain one of the most affordable universities in the North Texas region and to limit student debt to approximately 60% of first year salary of our graduates by 2021, which require a concentrated effort around scholarships and financial aid. UNT Dallas school profile with TEXAS CREWS (2014 data) indicated a 0.62:1 ratio for Loan/1st year wage. UNT Dallas is on-track to achieve the 60% goal by 2021. In support of this goal, the university has budgeted institutionally funded scholarships of \$1.5 million in addition to mandated set-asides for tuition grants. In a unified effort to provide more scholarships to our students, the Office of University Advancement will focus fundraising efforts around spendable scholarships as well as increasing endowment funds. Financial Aid related to PELL grants and Texas Grants will increase approximately \$2.5 million in FY 2018, or 43%.

In order to further align the budget with the Annual Financial Reporting (AFR) process; there are changes regarding budget treatment for discounts & allowances (D&A) in 2018. This realignment effects only the budget categories and produces a net zero impact to fund balance. In FY 2017 the budget placed amounts for institutionally funded scholarships, mandated set-asides, and exemptions in an expense budget category, "Scholarships, Exemptions, and Financial Aid". In FY 2018 these amounts are being placed in a revenue budget category "Net Tuition and Fees" as a contra-revenue. Due to this realignment, a comparison of Scholarships and Financial Aid from FY 2017 to FY 2018 will be misleading. To provide a better comparison, if the D&A changes are removed (reduce FY 2017 Scholarship & Financial Aid budget by \$4M; from \$11M to \$7M), the university estimates a 28.6% increase in Scholarships & Financial Aid; \$7M in FY 2017 vs. \$9M in FY 2018.

Debt Service

Debt service will increase slightly in FY 2018; increase is related to the Residence Hall Revenue Financing System (RFS) Bond repayment. The major difference is the budget category for Principal and Interest payments. In FY 2017 the principal and interest payments were budgeted in an expense budget category (current funds), in FY 2018 they are budgeted as a transfer from current to non-current funds. Change in budget category has no impact on fund balance.

Transfers

Increased faculty/staff headcount and student enrollment has subsequently increased the costs of System allocations. UNT Dallas recognizes the benefits of cost-cutting efficiencies through shared services and the reasonable increase in allocation costs. Other intra-system transfers have remained mostly flat.

Reserves

Use of General Revenue Dedicated (GRD) fund balance will be used to fund salaries and payroll related costs in FY 2018 for \$2.9 million. The university has built excess reserves in the state treasury; salaries and payroll related costs are an allowable expense and the positions are vital to campus operations. Positions funded by GRD fund balance in 2018 will be moved to designated unrestricted sources in 2019.

Use of Designated unrestricted fund balance can be used to offset the projected deficit associated with the Residence Hall first year operations. When the Residence Hall becomes self-sustaining the funds will be paid back to designated unrestricted fund balance.

Overall use of reserves is budgeted at \$3.0 million

Capital Expenditures

Construction on the new Student Learning & Success Center (SLSC) will begin in FY 2018, estimated expenses of \$33.4 million funded from Tuition Revenue Bond (TRB) debt proceeds. The project will not be completed until FY 2019 but significant progress will take place in FY 2018. Planned use of Higher Education Funds in the amount of \$695K to purchase university vehicles, establish a secured parking area for university vehicles and equipment, complete the final year of the classroom digital upgrade project, and possible capital expenditures related to the SLSC not covered by TRB debt proceeds.

Fiscal Year 2018 Summary – Current Funds

Budget for Revenues, Expenditures & Other Changes in Fund Balances

	FY 2017 Forecast (Actuals)	FY 2017 Budget	FY 2018 Budget	Budget Increases (Decreases) from FY2017 to FY2018	
				Amount	Percent
Revenues					
Net Tuition and Fees	17,500,000	20,544,785	19,359,028	(1,185,757)	-5.8%
Sales of Goods and Services	350,000	195,000	822,500	627,500	321.8%
Grant and Contracts	8,250,000	6,879,681	9,651,215	2,771,534	40.3%
State Appropriations	16,932,410	22,805,189	25,718,429	2,913,240	12.8%
Capital Appropriations - HEF	2,113,004	2,113,004	2,113,004	-	-
Net Professional Fees	-	-	-	-	-
Gift Income	420,000	1,017,000	500,000	(517,000)	-50.8%
Investment Income	200,000	36,000	216,000	180,000	500.0%
Other Revenue	17,000	-	20,000	20,000	0.0%
Total	45,782,414	53,590,659	58,400,176	4,809,517	9.0%
Expenditures					
Personnel Costs	24,273,993	26,727,842	29,755,099	3,027,257	11.3%
Supplies and Other	4,550,000	5,186,929	6,234,730	1,047,801	20.2%
Travel	350,000	591,206	532,875	(58,331)	-9.9%
Purchased Services	1,100,000	932,582	1,048,755	116,173	12.5%
Scholarships, Exemptions, and Financial Aid	7,750,000	10,962,516	8,951,215	(2,011,301)	-18.3%
Debt Service - Principal	7,163,050	7,218,663	-	(7,218,663)	-100.0%
Capital Outlay	1,179,456	2,115,685	779,026	(1,336,659)	-63.2%
Federal and State Pass-Through Expense	-	-	-	-	-
Interest Expense and Fiscal Charges	1,431,038	1,440,811	-	(1,440,811)	-100.0%
Total	47,797,537	55,176,234	47,301,700	(7,874,534)	-14.3%
Excess Income Over Expenditures	(2,015,123)	(1,585,575)	11,098,476	12,684,051	800.0%
Transfers					
<i>Interfund Transfers and Transfers Between UNTS Components</i>					
Transfers In/(Out)	(5,056,158)	(4,394,335)	(14,141,944)	(9,747,609)	221.8%
<i>Other Transfers</i>					
Transfers to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	9,078,520	4,205,741	-	(4,205,741)	-100.0%
Total	4,022,362	(188,594)	(14,141,944)	(13,953,350)	7398.6%
Estimated Impact on Fund Balance	2,007,239	(1,774,169)	(3,043,468)	(1,269,299)	71.5%
Planned Use of Fund Balances	-	1,774,169	3,155,236	1,381,067	77.8%

Fiscal Year 2018 – UNT Dallas
Budget Detail by Fund Group – Current Funds

	Current Funds				Current Funds
	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	
REVENUES					
Net Tuition and Fees	6,065,941	13,283,227	9,860	-	19,359,028
Sales of Goods and Services	-	4,410	818,090	-	822,500
Grants and Contracts	1,757,215	-	-	7,894,000	9,651,215
State Appropriations	25,718,429	-	-	-	25,718,429
Capital Appropriations	2,113,004	-	-	-	2,113,004
Net Professional Fees	-	-	-	-	-
Gift Income	-	200,000	-	300,000	500,000
Investment Income	-	160,000	-	56,000	216,000
Other Revenue	-	-	20,000	-	20,000
Revenues	35,654,589	13,647,637	847,950	8,250,000	58,400,176
EXPENDITURES					
Salaries - Faculty	9,488,191	353,129	-	150,000	9,991,320
Salaries - Staff	11,557,550	965,845	165,360	500,000	13,188,755
Wages and Other Compensation	317,400	597,556	20,000	30,000	964,956
Benefits and Other Payroll-Related Costs	5,108,864	312,329	38,875	150,000	5,610,068
Cost of Goods Sold	-	-	-	-	-
Professional Fees and Services	-	978,755	70,000	-	1,048,755
Travel	-	432,875	-	100,000	532,875
Materials and Supplies	1,764,532	1,400,854	59,860	-	3,225,246
Communication and Utilities	-	658,059	89,370	-	747,429
Repairs and Maintenance	-	272,098	-	-	272,098
Rentals and Leases	-	234,820	-	-	234,820
Printing and Reproduction	-	378,082	20,000	-	398,082
Debt Service - Principal	-	-	-	-	-
Debt Service - Interest	-	-	-	-	-
Capital Expenditures	695,000	84,026	-	-	779,026
Federal and State Pass-Through Expense	-	-	-	-	-
Scholarships, Exemptions, and Financial Aid	1,757,215	-	-	7,194,000	8,951,215
Other Expenditures	-	1,269,055	18,000	70,000	1,357,055
Expenditures	30,688,752	7,937,483	481,465	8,194,000	47,301,700
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	(7,933,332)	(495,000)	(554,226)	-	(8,982,558)
Inter-Fund Transfer In/(Out)	-	-	-	-	-
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	(2,601,240)	-	-	(2,601,240)
Core Services	-	(1,269,425)	-	-	(1,269,425)
Other Inter-Unit Transfers In/(Out)	-	(1,288,721)	-	-	(1,288,721)
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	-	-	-	-	-
Transfers	(7,933,332)	(5,654,386)	(554,226)	-	(14,141,944)
Estimated Impact on Fund Balance	(2,967,495)	55,768	(187,741)	56,000	(3,043,468)
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	2,967,495	-	-	-	2,967,495
Residence Hall	-	187,741	-	-	187,741
Facilities Construction & Development	-	-	-	-	-
Debt Proceeds	-	-	-	-	-
Planned Use of Fund Balance & Debt Proceeds	2,967,495	187,741	-	-	3,155,236

Budget Detail by Fund Group – Non-Current Funds

	Non-Current Funds				FY18
	Endowment Funds	Loan Funds	Plant and Debt	Non-Current	Allfunds
REVENUES					
Net Tuition and Fees	-	-	-	-	19,359,028
Sales of Goods and Services	-	-	-	-	822,500
Grants and Contracts	-	-	-	-	9,651,215
State Appropriations	-	-	-	-	25,718,429
Capital Appropriations	-	-	-	-	2,113,004
Net Professional Fees	-	-	-	-	-
Gift Income	600,000	-	-	600,000	1,100,000
Investment Income	-	-	-	-	216,000
Other Revenue	-	-	-	-	20,000
Revenues	600,000	-	-	600,000	59,000,176
EXPENDITURES					
Salaries - Faculty	-	-	-	-	9,991,320
Salaries - Staff	-	-	-	-	13,188,755
Wages and Other Compensation	-	-	-	-	964,956
Benefits and Other Payroll-Related Costs	-	-	-	-	5,610,068
Cost of Goods Sold	-	-	-	-	-
Professional Fees and Services	-	-	-	-	1,048,755
Travel	-	-	-	-	532,875
Materials and Supplies	-	-	-	-	3,225,246
Communication and Utilities	-	-	-	-	747,429
Repairs and Maintenance	-	-	-	-	272,098
Rentals and Leases	-	-	-	-	234,820
Printing and Reproduction	-	-	-	-	398,082
Debt Service - Principal	-	-	5,362,915	5,362,915	5,362,915
Debt Service - Interest	-	-	3,619,643	3,619,643	3,619,643
Capital Expenditures	-	-	33,400,000	33,400,000	34,179,026
Federal and State Pass-Through Expense	-	-	-	-	-
Scholarships, Exemptions, and Financial Aid	-	-	-	-	8,951,215
Other Expenditures	-	-	-	-	1,357,055
Expenditures	-	-	42,382,558	42,382,558	89,684,258
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	-	-	8,982,558	8,982,558	-
Inter-Fund Transfer In/(Out)	-	-	-	-	-
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	-	-	-	(2,601,240)
Core Services	-	-	-	-	(1,269,425)
Other Inter-Unit Transfers In/(Out)	-	-	-	-	(1,288,721)
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	-
Other Legislative Transfers In/(Out)	-	-	-	-	-
Transfers	-	-	8,982,558	8,982,558	(5,159,386)
Estimated Impact on Fund Balance	600,000	-	(33,400,000)	(32,800,000)	(35,843,468)
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	-	-	-	-	2,967,495
Residence Hall	-	-	-	-	187,741
Facilities Construction & Development	-	-	-	-	-
Debt Proceeds	-	-	33,400,000	33,400,000	33,400,000
Planned Use of Fund Balance & Debt Proceeds	-	-	33,400,000	33,400,000	36,555,236

Budgeted Revenue Breakout by Fund – Current Funds

	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	Current Funds
Resident Undergrad Tuition	3,251,148	13,002,803	-	-	16,253,951
Non-resident Undergrad Tuition	-	-	-	-	-
Other Undergrad Tuition	-	-	-	-	-
Waivers Undergrad Tuition	-	-	-	-	-
Gross Undergraduate Tuition	3,251,148	13,002,803	-	-	16,253,951
Resident Graduate Tuition	3,866,694	3,338,403	-	-	7,205,097
Non-resident Graduate Tuition	-	-	-	-	-
Other Graduate Tuition	-	-	-	-	-
Waivers Graduate Tuition	-	-	-	-	-
Gross Graduate Tuition	3,866,694	3,338,403	-	-	7,205,097
Fees - Instructional	-	-	-	-	-
Fees - Mandatory	-	915,315	-	-	915,315
Fees - Incidental	-	260,900	9,860	-	270,760
Waivers - Fees	(151,635)	(185,172)	-	-	(336,807)
Gross Fees	(151,635)	991,043	9,860	-	849,268
Disc & Allow-Tuition and Fee	(900,266)	(4,049,022)	-	-	(4,949,288)
Discount and Allowances	(900,266)	(4,049,022)	-	-	(4,949,288)
Tuition and Waiver Conversion	-	-	-	-	-
Net Tuition and Fees	6,065,941	13,283,227	9,860	-	19,359,028
Athletics	-	-	-	-	-
Auxiliary Enterprises	-	-	818,090	-	818,090
Discounts and Allowances - Auxiliaries	-	-	-	-	-
Other Sales of Goods and Services	-	4,410	-	-	4,410
Sales of Goods and Services	-	4,410	818,090	-	822,500
Federal Programs and Contracts	-	-	-	616,000	616,000
Federal Financial Aid	-	-	-	6,746,000	6,746,000
State Programs and Contracts	-	-	-	282,000	282,000
State Financial Aid	1,757,215	-	-	-	1,757,215
Other Grants and Contracts	-	-	-	250,000	250,000
Grants and Contracts	1,757,215	-	-	7,894,000	9,651,215
State Appropriations - General	22,161,863	-	-	-	22,161,863
State Appropriations - Additional	3,556,566	-	-	-	3,556,566
State Appropriations	25,718,429	-	-	-	25,718,429
Capital Appropriations - HEF	2,113,004	-	-	-	2,113,004
Capital Appropriations	2,113,004	-	-	-	2,113,004
Gross Professional Fees	-	-	-	-	-
Contractual Allowances and Discounts	-	-	-	-	-
Net Professional Fees	-	-	-	-	-
Gift Income	-	200,000	-	300,000	500,000
Investment Income	-	160,000	-	56,000	216,000
Other Revenue	-	-	20,000	-	20,000
Revenues	35,654,589	13,647,637	847,950	8,250,000	58,400,176

Fiscal Year 2018 – UNT Dallas
Budget - Current Funds by Quarter

	Q1 FYTD Estimate	Q2 FYTD Estimate	Q3 FYTD Estimate	Q4 FYTD Budget
Revenues				
Net Tuition and Fees	8,324,382	16,455,174	17,810,306	19,359,028
Sales of Goods and Services	205,625	411,250	616,875	822,500
Grants and Contracts	2,123,267	6,755,851	7,720,972	9,651,215
State Appropriations	22,889,402	23,918,139	24,689,692	25,718,429
Capital Appropriations	2,113,004	2,113,004	2,113,004	2,113,004
Net Professional Fees	-	-	-	-
Gift Income	125,000	250,000	375,000	500,000
Investment Income	54,000	108,000	162,000	216,000
Other Revenue	5,000	10,000	15,000	20,000
Total Revenues	35,839,680	50,021,417	53,502,849	58,400,176
Expenditures				
Salaries - Faculty	1,998,264	4,496,094	6,993,924	9,991,320
Salaries - Staff	2,637,751	5,934,940	9,232,129	13,188,755
Wages and Other Compensation	192,991	434,230	675,469	964,956
Benefits and Other Payroll-Related Costs	1,122,014	2,524,531	3,927,048	5,610,068
Cost of Goods Sold	-	-	-	-
Professional Fees and Services	262,189	524,378	786,566	1,048,755
Travel	133,219	266,438	399,656	532,875
Materials and Supplies	806,312	1,612,623	2,418,935	3,225,246
Communication and Utilities	186,857	373,715	560,572	747,429
Repairs and Maintenance	68,025	136,049	204,074	272,098
Rentals and Leases	58,705	117,410	176,115	234,820
Printing and Reproduction	99,521	199,041	298,562	398,082
Capital Expenditures	77,903	389,513	545,318	779,026
Federal and State Pass-Through Expense	-	-	-	-
Scholarships, Exemptions, and Financial Aid	1,969,267	6,265,851	7,160,972	8,951,215
Other Expenditures	339,264	678,528	1,017,791	1,357,055
Total Expenditures	9,952,280	23,953,339	34,397,129	47,301,700
Transfers				
<i>Intra-campus Transfers Between Funds:</i>				
Debt Service Transfer In (Out)	(2,245,640)	(4,491,279)	(6,736,919)	(8,982,558)
Inter-Fund Transfer In/(Out)	-	-	-	-
<i>Transfers Between UNTS Components:</i>				
Shared Services	(650,310)	(1,300,620)	(1,950,930)	(2,601,240)
Core Services	(317,356)	(634,713)	(952,069)	(1,269,425)
Other Inter-Unit Transfers In/(Out)	(322,180)	(644,361)	(966,541)	(1,288,721)
<i>Other Transfers:</i>				
Transfer to Other State Agencies In/(Out)	-	-	-	-
Other Legislative Transfers In/(Out)	-	-	-	-
Total Transfers	(3,535,486)	(7,070,972)	(10,606,458)	(14,141,944)



UNT System Administration Budget Overview

Executive Summary and Highlights

Strategic Impact and Major Goals Addressed by FY 2018 Budget

Over the last three and a half years, the UNT System Administration budget has reflected the phased-in implementation for financial and operational improvements. The purpose of this transformation includes establishing core institutional operations resulting in strengthened governance, process efficiency, accountability, data transparency, financial and human resource applications, and savings where applicable. The end result is consistency in financial data delivery and implementation of scalable operations to support our growing universities.

Significant investments in people, technology and change have moved the System Administration and component units to more unified financial administrative practices while addressing many specific areas. The result is reflected in consolidated operations that are now stabilizing in purpose and function. In addition, areas such as Information Technology Shared Services (ITSS) and Facilities, Planning, and Construction continue to deliver a large volume of projects.

Sustaining the progress is a commitment addressed in the FY 2018 budget. Additional resources were added during 2016 and carried forward to 2017. The FY 2018 budget funds ongoing operations that have stabilized from FY 2017 to FY 2018. The FY 2017 budget relied on one time cost reductions and one time funding from reserve to support ongoing operations. The FY 2018 budget closes this funding gap. Our commitment to fiscal responsibility is demonstrated through our actions. Examples of these actions over FY 2016, FY 2017 and FY 2018 are represented below:

Outsourcing of Five Services as a Result of Internal Effectiveness Analysis:

Evaluating services for more cost-effective solutions is important. The results of a cost/benefit analysis yielded the following services to be outsourced with improvements to customer service.

- Tax compliance
- Family and Medical Leave Act (FMLA) processing
- Affordable Care Act (ACA) processing
- Employee Verifications
- Co-sourcing Internal Audit

Reductions/Internal Reallocations Amounting to More Than \$5M over 2 Years:

Beginning in FY 2016, System Administration began reducing the burden of costs to the component institutions and began bearing more of the costs directly. This resulted in budget challenges. As the needs of the organization shifted, System Administration absorbed many of them through internal reallocations. In FY 2017, the System budget was reduced by approximately \$3.7m, which resulted in no merit/performance raises, for the staff and other operating reductions. In FY 2018, the reductions/reallocations are expected to be approximately \$1.5M in addition to other negotiated cost containment savings.

FTE reductions of Core and Shared Services:

The System Administration critically evaluates vacancies as they occur to determine if replacement staff are needed, the position can be eliminated, or if they can be repurposed to meet the growing and changing needs of the organization. Two positions have been eliminated, six positions have repurposed to areas of greater need. Examples include budget, policy, 403(b) management, and EIS Campus Solutions support.

Cost Containment Measures Result in Approximately \$1M for 2018:

ITSS Shared Services has taken specific actions to renegotiate contracts with external vendors, providing cost-effective options for component institutions. This will yield net savings of more than \$2M over a five-year period, with approximately \$1M realized in FY 2018.

With the stabilization of the operations and staffing, process reengineering will continue to be aggressively pursued for resulting efficiencies and cost effective operations with the goal of enhancing customer service. Customer service continues to be phased in as a major strategic initiative over this new budget year. Resources in Service Now technology and employee engagement support this initiative in FY 2018.

UNT System Administration includes:

Core Services

- Academic Affairs and Student Success
- Board of Regents
- Chancellor’s Office
- External Relations
- Facilities Planning and Construction
- Finance
- General Counsel
- Government Relations
- Internal Audit

Shared Services

- Information Technology
- Business Support Services
- Human Resources

Revenues

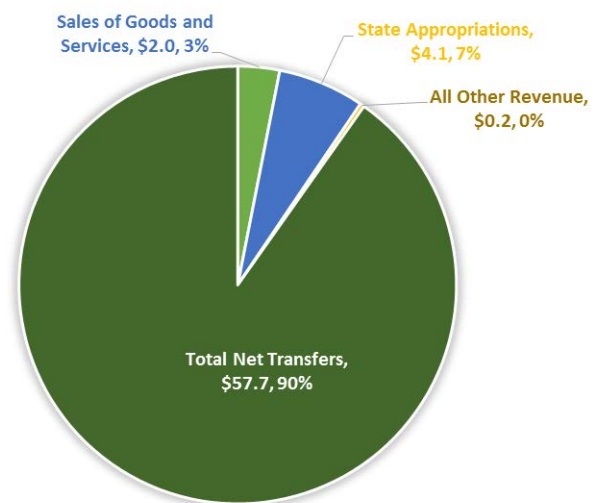
State Appropriations

- Supports salaries for the System Administration;
- Remainder of the appropriation supports the Universities Center at Dallas and North Texas Federation, which will be transferred to other state institutions as appropriate.

Auxiliary – 1900 Elm Street (Majestic Lofts)

- The Lofts maintain average 97% occupancy. Due to the healthy downtown market, rents continue to increase for newly signed leases.
- Continue to seek tenants for other available space.

FY2018 BUDGET REVENUES AND TRANSFERS
(IN MILLIONS)



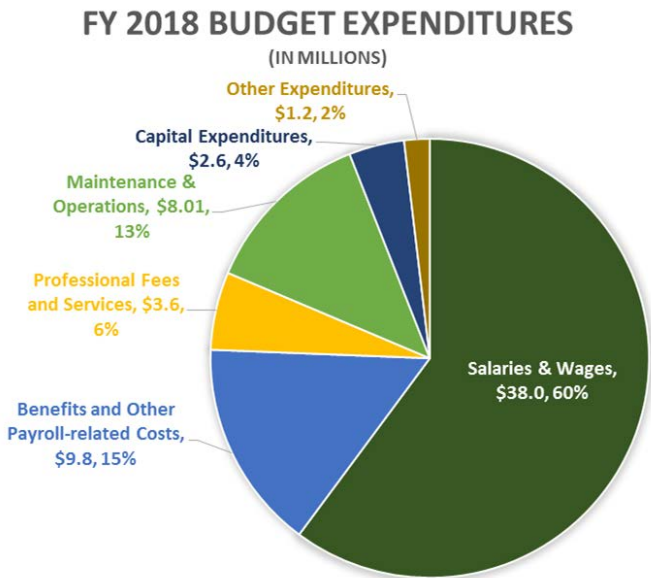
Transfers

- Transfers from UNTS institutions support both core and shared services provided to the institutions.
- Project based construction management fees support the operation of the Office of Facilities, Planning and Construction.

Expenditures

The increase in the expenditure budget is due to multiple factors:

- Some expenses have shifted from component institutions to System Administration due to funding mix options available to component institutions.
- Increase in operating costs, such as merit, IT licensing, new technology, etc. totaling approximately \$1.8M.
- Creation of a 20-Year plan to meet the 22-week strategic goal for operating reserves.



FTE Categories	FY 2016 Budget	FY 2017 Budget	FY 2018 Budget
Administrators	16.0	17.0	18.0
Faculty	0.0	0.0	0.0
Other Staff	513.0	542.3	530.3
Total FTE	529.0	559.3	548.3

Reserves and Capital Expenditures

In FY 2018, there are no new capital projects. However, the renovation of the Municipal Building is on schedule and continues to be within budget.

In order to meet the 22-week strategic goal for operating reserves and provide a fund balance, this budget reflects approximately \$750K in surplus, which will increase our expected unrestricted balance.

Summary

UNT System Administration continues to strengthen its commitment to innovation, collaboration and fiscal responsibility in support of the UNT System institutions and the communities we serve. There have been significant resources invested into the UNT System’s enterprise. The organization is finally in the midst of stabilizing in many areas but still recognizes there is plenty of work left to do.



Fiscal Year 2018 Summary – Current Funds

Budget for Revenues, Expenditures & Other Changes in Fund Balances



	FY 2017 Forecast (Actuals)	FY 2017 Budget	FY 2018 Budget Before Distribution of		FY 2018 Final Budget	Budget Increases (Decreases) from FY2017 to FY2018	
			Internal Income	Distribution of Internal Income		Amount	Percent
Revenues							
Net Tuition and Fees	-	-	-	-	-	-	0.0%
Sales of Goods and Services	1,899,505	1,899,505	1,975,485	-	1,975,485	75,980	4.0%
Grant and Contracts	-	-	-	-	-	-	0.0%
State Appropriations	8,150,650	8,150,650	4,089,548	-	4,089,548	(4,061,102)	-49.8%
Capital Appropriations - HEF	-	-	-	-	-	-	-
Net Professional Fees	-	-	-	-	-	-	-
Gift Income	-	-	-	-	-	-	0.0%
Investment Income	250,000	165,989	201,139	-	201,139	35,150	21.2%
Other Revenue	250,000	-	-	-	-	-	0.0%
Total	10,550,155	10,216,144	6,266,172	-	6,266,172	(3,949,972)	-38.7%
Expenditures							
Personnel Costs	49,094,434	51,271,640	52,386,640	(4,571,576)	47,815,064	(3,456,576)	-6.7%
Supplies and Other	4,584,624	8,946,718	11,279,637	(2,569,640)	8,709,997	(236,721)	-2.6%
Travel	400,000	1,021,566	568,263	(75,732)	492,531	(529,035)	-51.8%
Purchased Services	4,185,206	4,282,951	3,755,182	(122,623)	3,632,559	(650,392)	-15.2%
Scholarships, Exemptions, and Financial Aid	-	-	-	-	-	-	0.0%
Debt Service - Principal	5,411,241	3,066,359	-	-	-	(3,066,359)	-100.0%
Capital Outlay	632,830	304,500	2,582,991	-	2,582,991	2,278,491	748.3%
Federal and State Pass-Through Expense	-	-	-	-	-	-	-
Interest Expense and Fiscal Charges	1,545,591	3,890,472	-	-	-	(3,890,472)	(1.00)
Internal (Income)	(5,259,869)	(7,339,579)	(7,339,571)	7,339,571	-	7,339,579	-100.0%
Total	60,594,057	65,444,627	63,233,142	-	63,233,142	(2,211,485)	-3.4%
Excess Income Over Expenditures	(50,043,902)	(55,228,483)	(56,966,970)	-	(56,966,970)	(1,738,487)	-3.1%
Transfers							
<i>Interfund Transfers and Transfers Between UNTS Components</i>							
Transfers In/(Out)	45,194,752	47,178,111	46,237,185	-	46,237,185	(940,926)	-2.0%
<i>Other Transfers</i>							
Transfers to Other State Agencies In/(Out)	-	(212,784)	(141,823)	-	(141,823)	70,961	(0.33)
Other Legislative Transfers In/(Out)	6,657,269	5,870,053	11,627,374	-	11,627,374	5,757,321	98.1%
Total	51,852,021	52,835,380	57,722,736	-	57,722,736	4,887,356	9.3%
Estimated Impact on Fund Balance	1,808,119	(2,393,103)	755,766	-	755,766	3,148,869	131.6%
Planned Use of Fund Balances	3,451,750	2,393,103	-	-	-	(2,393,103)	-100.0%

Fiscal Year 2018 – UNT System Administration
Budget Detail by Fund Group – Current Funds



	Current Funds				Current Funds
	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	
REVENUES					
Net Tuition and Fees	-	-	-	-	-
Sales of Goods and Services	-	-	1,975,485	-	1,975,485
Grants and Contracts	-	-	-	-	-
State Appropriations	4,089,548	-	-	-	4,089,548
Capital Appropriations	-	-	-	-	-
Net Professional Fees	-	-	-	-	-
Gift Income	-	-	-	-	-
Investment Income	-	201,139	-	-	201,139
Other Revenue	-	-	-	-	-
Revenues	4,089,548	201,139	1,975,485	-	6,266,172
EXPENDITURES					
Salaries - Faculty	-	-	-	-	-
Salaries - Staff	8,763,474	28,068,789	-	-	36,832,263
Wages and Other Compensation	140,520	1,068,853	-	-	1,209,373
Benefits and Other Payroll-Related Costs	2,297,546	7,475,882	-	-	9,773,428
Cost of Goods Sold	-	-	-	-	-
Professional Fees and Services	-	3,208,937	423,622	-	3,632,559
Travel	-	492,531	-	-	492,531
Materials and Supplies	-	822,383	18,782	-	841,165
Communication and Utilities	-	614,927	191,395	-	806,322
Repairs and Maintenance	-	4,977,439	276,930	-	5,254,369
Rentals and Leases	-	453,096	82,262	-	535,358
Printing and Reproduction	-	82,708	950	-	83,658
Debt Service - Principal	-	-	-	-	-
Debt Service - Interest	-	-	-	-	-
Capital Expenditures	-	2,432,991	150,000	-	2,582,991
Federal and State Pass-Through Expense	-	-	-	-	-
Scholarships, Exemptions, and Financial Aid	-	-	-	-	-
Other Expenditures	-	887,287	301,838	-	1,189,125
Expenditures	11,201,540	50,585,823	1,445,779	-	63,233,142
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	(4,367,747)	(1,739,140)	(878,722)	-	(6,985,609)
Inter-Fund Transfer In/(Out)	-	(349,016)	349,016	-	-
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	29,438,405	-	-	29,438,405
Core Services	-	22,615,922	-	-	22,615,922
Other Inter-Unit Transfers In/(Out)	-	1,168,467	-	-	1,168,467
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	(141,823)	-	-	-	(141,823)
Other Legislative Transfers In/(Out)	11,627,374	-	-	-	11,627,374
Transfers	7,117,804	51,134,638	(529,706)	-	57,722,736
Estimated Impact on Fund Balance	5,812	749,954	-	-	755,766
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	-	-	-	-	-
Residence Hall	-	-	-	-	-
Facilities Construction & Development	-	142,276	-	-	142,276
Debt Proceeds	-	-	-	-	-
Planned Use of Fund Balance & Debt Proceeds	-	142,276	-	-	142,276

Fiscal Year 2018 - UNT System Administration
Budget Detail by Fund Group – Non-Current Funds



	<i>Non-Current Funds</i>				<i>FY18</i>
	Endowment Funds	Loan Funds	Plant and Debt	Non-Current	Allfunds
REVENUES					
Net Tuition and Fees	-	-	-	-	-
Sales of Goods and Services	-	-	-	-	1,975,485
Grants and Contracts	-	-	-	-	-
State Appropriations	-	-	-	-	4,089,548
Capital Appropriations	-	-	-	-	-
Net Professional Fees	-	-	-	-	-
Gift Income	-	-	-	-	-
Investment Income	-	-	-	-	201,139
Other Revenue	-	-	-	-	-
Revenues	-	-	-	-	6,266,172
EXPENDITURES					
Salaries - Faculty	-	-	-	-	-
Salaries - Staff	-	-	-	-	36,832,263
Wages and Other Compensation	-	-	-	-	1,209,373
Benefits and Other Payroll-Related Costs	-	-	-	-	9,773,428
Cost of Goods Sold	-	-	-	-	-
Professional Fees and Services	-	-	-	-	3,632,559
Travel	-	-	-	-	492,531
Materials and Supplies	-	-	-	-	841,165
Communication and Utilities	-	-	-	-	806,322
Repairs and Maintenance	-	-	-	-	5,254,369
Rentals and Leases	-	-	-	-	535,358
Printing and Reproduction	-	-	-	-	83,658
Debt Service - Principal	-	-	3,781,900	3,781,900	3,781,900
Debt Service - Interest	-	-	3,203,709	3,203,709	3,203,709
Capital Expenditures	-	-	25,200,000	25,200,000	27,782,991
Federal and State Pass-Through Expense	-	-	-	-	-
Scholarships, Exemptions, and Financial Aid	-	-	-	-	-
Other Expenditures	-	-	-	-	1,189,125
Expenditures	-	-	32,185,609	32,185,609	95,418,751
TRANSFERS					
<i>Intra-campus Transfers Between Funds:</i>					
Debt Service Transfer In (Out)	-	-	6,985,609	6,985,609	-
Inter-Fund Transfer In/(Out)	-	-	-	-	-
<i>Transfers Between UNTS Components:</i>					
Shared Services	-	-	-	-	29,438,405
Core Services	-	-	-	-	22,615,922
Other Inter-Unit Transfers In/(Out)	-	-	-	-	1,168,467
<i>Other Transfers:</i>					
Transfer to Other State Agencies In/(Out)	-	-	-	-	(141,823)
Other Legislative Transfers In/(Out)	-	-	-	-	11,627,374
Transfers	-	-	6,985,609	6,985,609	64,708,345
Estimated Impact on Fund Balance	-	-	(25,200,000)	(25,200,000)	(24,444,234)
Planned Use of Fund Balance & Debt Proceeds					
Auxiliary Funded Projects	-	-	-	-	-
GR-D Fund Balance (State Treasury)	-	-	-	-	-
Residence Hall	-	-	-	-	-
Facilities Construction & Development	-	-	-	-	142,276
Debt Proceeds	-	-	25,200,000	25,200,000	25,200,000
Planned Use of Fund Balance & Debt Proceeds	-	-	25,200,000	25,200,000	25,342,276

Fiscal Year 2018 – UNT System Administration
Budgeted Revenue Breakout by Fund – Current Funds



	Educational & General	Designated Operating	Auxiliary	Restricted Expendable	Current Funds
Resident Undergrad Tuition	-	-	-	-	-
Non-resident Undergrad Tuition	-	-	-	-	-
Other Undergrad Tuition	-	-	-	-	-
Waivers Undergrad Tuition	-	-	-	-	-
Gross Undergraduate Tuition	-	-	-	-	-
Resident Graduate Tuition	-	-	-	-	-
Non-resident Graduate Tuition	-	-	-	-	-
Other Graduate Tuition	-	-	-	-	-
Waivers Graduate Tuition	-	-	-	-	-
Gross Graduate Tuition	-	-	-	-	-
Fees - Instructional	-	-	-	-	-
Fees - Mandatory	-	-	-	-	-
Fees - Incidental	-	-	-	-	-
Waivers - Fees	-	-	-	-	-
Gross Fees	-	-	-	-	-
Disc & Allow-Tuition and Fee	-	-	-	-	-
Discount and Allowances	-	-	-	-	-
Tuition and Waiver Conversion	-	-	-	-	-
Net Tuition and Fees	-	-	-	-	-
Athletics	-	-	-	-	-
Auxiliary Enterprises	-	-	1,975,485	-	1,975,485
Discounts and Allowances - Auxiliaries	-	-	-	-	-
Other Sales of Goods and Services	-	-	-	-	-
Sales of Goods and Services	-	-	1,975,485	-	1,975,485
Federal Programs and Contracts	-	-	-	-	-
Federal Financial Aid	-	-	-	-	-
State Programs and Contracts	-	-	-	-	-
State Financial Aid	-	-	-	-	-
Other Grants and Contracts	-	-	-	-	-
Grants and Contracts	-	-	-	-	-
State Appropriations - General	4,089,548	-	-	-	4,089,548
State Appropriations - Additional	-	-	-	-	-
State Appropriations	4,089,548	-	-	-	4,089,548
Capital Appropriations - HEF	-	-	-	-	-
Capital Appropriations	-	-	-	-	-
Gross Professional Fees	-	-	-	-	-
Contractual Allowances and Discounts	-	-	-	-	-
Net Professional Fees	-	-	-	-	-
Gift Income	-	-	-	-	-
Investment Income	-	201,139	-	-	201,139
Other Revenue	-	-	-	-	-
Revenues	4,089,548	201,139	1,975,485	-	6,266,172

Fiscal Year 2018 – UNT System Administration
Budget - Current Funds by Quarter



	Q1 FYTD Estimate	Q2 FYTD Estimate	Q3 FYTD Estimate	Q4 FYTD Budget
Revenues				
Net Tuition and Fees	-	-	-	-
Sales of Goods and Services	493,871	987,743	1,481,614	1,975,485
Grants and Contracts	-	-	-	-
State Appropriations	1,257,889	2,201,776	3,145,662	4,089,548
Capital Appropriations	-	-	-	-
Net Professional Fees	-	-	-	-
Gift Income	-	-	-	-
Investment Income	50,285	100,570	150,855	201,139
Other Revenue	-	-	-	-
Total Revenues	1,802,045	3,290,088	4,778,130	6,266,172
Expenditures				
Salaries - Faculty	-	-	-	-
Salaries - Staff	9,208,066	18,416,132	27,624,197	36,832,263
Wages and Other Compensation	302,343	604,687	907,030	1,209,373
Benefits and Other Payroll-Related Costs	2,443,357	4,886,714	7,330,071	9,773,428
Cost of Goods Sold	-	-	-	-
Professional Fees and Services	908,140	1,816,280	2,724,419	3,632,559
Travel	123,133	246,266	369,398	492,531
Materials and Supplies	210,291	420,583	630,874	841,165
Communication and Utilities	201,581	403,161	604,742	806,322
Repairs and Maintenance	1,914,273	3,539,198	4,396,784	5,254,369
Rentals and Leases	133,840	267,679	401,519	535,358
Printing and Reproduction	20,915	41,829	62,744	83,658
Capital Expenditures	1,210,566	1,963,241	2,497,616	2,582,991
Federal and State Pass-Through Expense	-	-	-	-
Scholarships, Exemptions, and Financial Aid	-	-	-	-
Other Expenditures	297,281	594,563	891,844	1,189,125
Total Expenditures	16,973,785	33,200,330	48,441,236	63,233,142
Transfers				
<i>Intra-campus Transfers Between Funds:</i>				
Debt Service Transfer In (Out)	(1,953,994)	(1,953,994)	(6,985,609)	(6,985,609)
Inter-Fund Transfer In/(Out)	-	-	-	-
<i>Transfers Between UNTS Components:</i>				
Shared Services	7,827,824	15,031,351	22,234,878	29,438,405
Core Services	6,487,792	12,469,150	17,542,535	22,615,922
Other Inter-Unit Transfers In/(Out)	496,715	720,632	944,550	1,168,467
<i>Other Transfers:</i>				
Transfer to Other State Agencies In/(Out)	(141,823)	(141,823)	(141,823)	(141,823)
Other Legislative Transfers In/(Out)	11,627,374	11,627,374	11,627,374	11,627,374
Total Transfers	24,343,888	37,752,690	45,221,905	57,722,736



Proposed Board Order



Board Briefing

Committee: Finance & Facilities

Date Filed: August 6, 2017

Title: FY2018 UNT System Consolidated Budget

Background:

The Office of the Vice Chancellor for Finance presents to the Board of Regents the FY2018 Consolidated Budget for approval on behalf of the University of North Texas (UNT), UNT Health Science Center (UNTHSC), University of North Texas at Dallas (UNTD), and UNT System Administration (System Administration).

The proposed Budget is a combination of Current Funds for Board approval and estimates of Non-current Funds to provide the expected impact of the budget on the financial health of the institution. This All Funds approach is taken to meet the expectations of the Board of Regents for greater public transparency, accountability, and integrated financial operations at the UNT System.

The proposed Consolidated UNT System Budget is composed of current funds revenue of \$1,014.9M, current funds expenditures of \$902.3M, and total current funds net transfers of (\$101.9M). This budget results in a net impact to current fund balances of \$10.7M.

Financial Analysis/History:

UNT Chief Financial Officer

UNTHSC Chief Financial Officer

UNT Dallas Chief Financial Officer

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Vice Chancellor/General Counsel

Schedule:

Once approved, this budget will be implemented for fiscal year 2018 beginning September 1, 2017.

Recommendation:

Approval of the FY2018 Consolidated Current Fund Budget for UNT, UNTHSC, UNTD and System Administration.

Recommended By:

Janet Waldron

Vice Chancellor for Finance

President

Vice Chancellor

Chancellor

Attachments Filed Electronically:

- UNT System FY2018 Consolidated Operating Budget



Board Order

Title: FY2018 UNT System Consolidated Budget

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

Whereas, each institution of the UNT System has developed a budget for the 2018 Fiscal Year, and

Whereas, the total Current Funds revenue budget of the UNT System is summarized in the following table, and

Current Funds Revenue by UNTS Component					
	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	247,103,696	284,127,478	94,901,430	78,886,720	705,019,324
UNT Health Science Center	132,370,268	74,997,712	425,000	37,400,000	245,192,980
UNT Dallas	35,654,589	13,647,637	847,950	8,250,000	58,400,176
UNT System Administration	4,089,548	201,139	1,975,485	-	6,266,172
Total UNTS Consolidated	419,218,102	372,973,966	98,149,865	124,536,720	1,014,878,652

Whereas, the total Current Fund expense budget of the UNT System is summarized in the following table, and

Current Funds Expenditures by UNTS Component					
	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	208,017,317	224,717,774	69,615,187	78,843,536	581,193,813
UNT Health Science Center	101,548,261	70,211,578	418,000	38,392,161	210,570,000
UNT Dallas	30,688,752	7,937,483	481,465	8,194,000	47,301,700
UNT System Administration	11,201,540	50,585,823	1,445,779	-	63,233,142
Total UNTS Consolidated	351,455,870	353,452,658	71,960,431	125,429,697	902,298,655

Whereas, the total Current Fund transfer budget of the UNT System is summarized in the following table

Current Funds Transfers by UNTS Component					
	Education and General	Designated Operating	Auxiliary Enterprises	Restricted Expendable	Total Current Funds
University of North Texas	(39,086,380)	(59,226,304)	(19,317,515)	(43,184)	(117,673,383)
UNT Health Science Center	(27,181,906)	(1,617,718)	-	1,000,000	(27,799,624)
UNT Dallas	(7,933,332)	(5,654,386)	(554,226)	-	(14,141,944)
UNT System Administration	7,117,804	51,483,654	(878,722)	-	57,722,736
Total UNTS Consolidated	(67,083,814)	(15,014,754)	(20,750,463)	956,816	(101,892,215)

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

1. The FY 2018 Current Funds operating budget for UNT System institutions (UNT, UNTHSC, UNTD and UNT System Administration) as presented
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Budget Manual



University of North Texas System

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Introduction

Dear Colleagues,

The University of North Texas University System is committed to serving the citizens of the State of Texas and understands that the valuable, but limited, resources provided to us must be utilized in the most efficient and effective manner and, as always, with the benefit of the State taxpayers foremost on our minds. The UNT System will continue to act as good stewards of the State of Texas' limited resources and will ensure the benefit to the State taxpayer is considered in every academic, research and service activity performed.

The UNT System remains focused on keeping the cost of attending our universities affordable, expanding student access, improving existing programs, developing new programs to meet new demands, expanding research and commercialization capabilities, and implementing cost-cutting efficiencies through shared services. The imperative of excellence in all we do and the reality of resource limitations in the State of Texas increase the difficulty of meeting these challenges and dictate that we devote our collective skills to ensuring that the productivity of all System resources is optimized.

Therefore, in preparation for the upcoming budget process, the FY 2018 budget should be focused on minimizing the financial burden on students and their families and the implementation of cost cutting/shared services initiatives.

Budget recommendations should be prepared within the estimated funds available. Reserve balances should only be used in special one-time situations or where a definite plan provides justification of a limited use of such balances. In self-supporting activities, total funds budgeted shall not exceed realistic estimates of income and balances brought forward. Recommendations for other operating expenses should be based upon careful estimates of actual needs, taking into account every possibility for savings. Every effort should be made to ensure that we are taking advantage of cost savings opportunities and reducing expenditures wherever possible. In addition, all budgetary projections should include provisions to accommodate items subject to possible inflationary increases during the course of this operating year.

We invite your feedback on this manual and supporting material as we work to address the complexity and practices identified during our financial transformation. This is an evolving process and we hope to hear from you.

Fiscal Year 2018 Operating Budget Calendar

Between March and August, the UNTS System Office of Budget and Planning and component Budget Offices work with departments and central office administrators to prepare budgets for approval by the Board of Regents. Major milestones throughout the planning process are listed below.

Date	Action
January – March , 2017	Components begin 2018 budget cycles.
Mid to Late April 2017	System Budget & Planning issues Budget Manual/Instructions
April 7, 2017	Hyperion Opens for Component budget development. Components perform budget development in Hyperion.
July 7, 2017	Hyperion Closed for Entry. Draft Fiscal Year 2018 Budget reports generated from Hyperion for Review and Analysis by System Office of Budget and Planning and Vice Chancellor for Finance. SUBJECT TO CHANGE BASED ON LEGISLATIVE SESSION.
July 10 – July 31, 2017	UNTS System Office of Budget and Planning Prepares Analysis and Compiles Component Unit Budgets into the UNTS Consolidated Fiscal Year 2018 Budget and Prepares Budget Presentations.
August 1-4, 2017	UNTS System Office of Budget and Planning submits briefing materials for August meeting of Board of Regents.
August 10, 2017	UNTS System Office of Budget and Planning Posts final Fiscal Year 2018 Budget in Advance of the Board of Regents Meeting.
August 17-18, 2017	UNTS Board of Regents Meeting – Finance Committee (Day One).

Budget Template

Principles

As much as possible, the Budget template provides key stakeholders with consistent and clear financial outlooks and enable them to make decisions that will promote the System's goals and strategic priorities. Revenues and expenses should be treated consistently throughout the System. The Budget Design is structured to promote these ten principles

- 1. Be purposeful**
 - a. The budget is designed to present critical and useful information to the Board, management, and the public
- 2. Present a budget that is transparent, concise, and intuitive to support effective Board fiscal oversight**
 - a. The new budget template provides more informative amounts, including a breakout of Maintenance & Operations (M&O); a drilldown into tuition amounts; and a clarified treatment of auxiliaries
- 3. Meet the Board's expectation for consistent budget formats and accounting treatments across all institutions**
 - a. The new budget templates include all funds (current funds will be budgeted and non-current funds will be estimated) for reporting budget and actual data
- 4. Prepare budgets and reporting in accordance with the new chart of accounts for consistency, accuracy, and integrity**
 - a. The budget summary book will include multi-year trends (going forward) and consistent usage of budget line items at each UNTS component unit
- 5. Reflect all funds to capture full institutional activity, including estimates where appropriate**
 - a. UNTS will establish guidelines that ensure each component utilizes the chart of accounts consistently for budgeting and reporting
- 6. Report beginning and ending fund balances to reflect the impact of the budget on institutional resources**
 - a. The new budget template will include fund balances and more transparency regarding changes in fund balances
- 7. Present financial information that comports with the Consolidated Annual Financial Report (CAFR)**
 - a. Actual results in the all-funds format will be reconciled to the CAFR, which is the official report of UNTS' financial results
- 8. Establish and report key financial ratios and metrics as a management dashboard**
 - a. A new, annual Budget Summary Book will include key financial ratios and operating metrics as a resource for monitoring the financial and operating health of UNTS
- 9. Meet industry standards for budgeting and reporting, including best practices and state/federal requirements**
 - a. The new budget template will be consistent with best practices reflective of effective fiscal management
- 10. Provide quarterly reports of actual activity with explanations for variances from plans**
 - a. UNTS will establish a quarterly monitoring process to allow for more timely fiscal management

Budget Formulation Process

The budget development process begins shortly after the start of the fiscal year (September 1st). The Office of Budget and Planning is responsible for monitoring quarterly financial results against the budget and reporting variances, developing projections of expenditures and revenues, and assisting the Chancellor and Vice Chancellor for Finance in preparing the request for appropriations to the State of Texas every other year.

Budget Units

1. University of North Texas System (Consolidated):

- a. This group includes every department operating and responsible for providing services throughout the entire UNT System. The budget officers and contacts for the Consolidated System are Paige Smith, Jim Gross, and Kerry Romine.

2. University of North Texas

- a. This group includes the departments operating and responsible for providing services at the University of North Texas. The budget officers and contacts for the University of North Texas are Beverly Cotton, Brenda Cates, and Karla Romine.

3. University of North Texas Health Science Center

- a. This group includes the departments operating and responsible for services at the Health Science Center. In addition, this includes physician service fees and other fees generated by professionals working out of and performing research at the Health Science Center. The budget officers and contacts for the Health Science Center are Geoffrey Scarpelli, Margaret Ambuehl, and Gail Herbert.

4. University of North Texas Dallas

- a. This group includes the departments operating and responsible for providing services at the Dallas Campus. The budget officers and contacts for the University of North Dallas are Dr. Daniel Edelman and April Barnes.

5. University of North Texas System Administration

- a. This group includes the Systems Office responsible for providing human resources, financial reporting, and business services. The budget officers and contacts for the University of North Texas System Administration office are Donna Asher, Godson Adedovah, and Carol Gagnon.

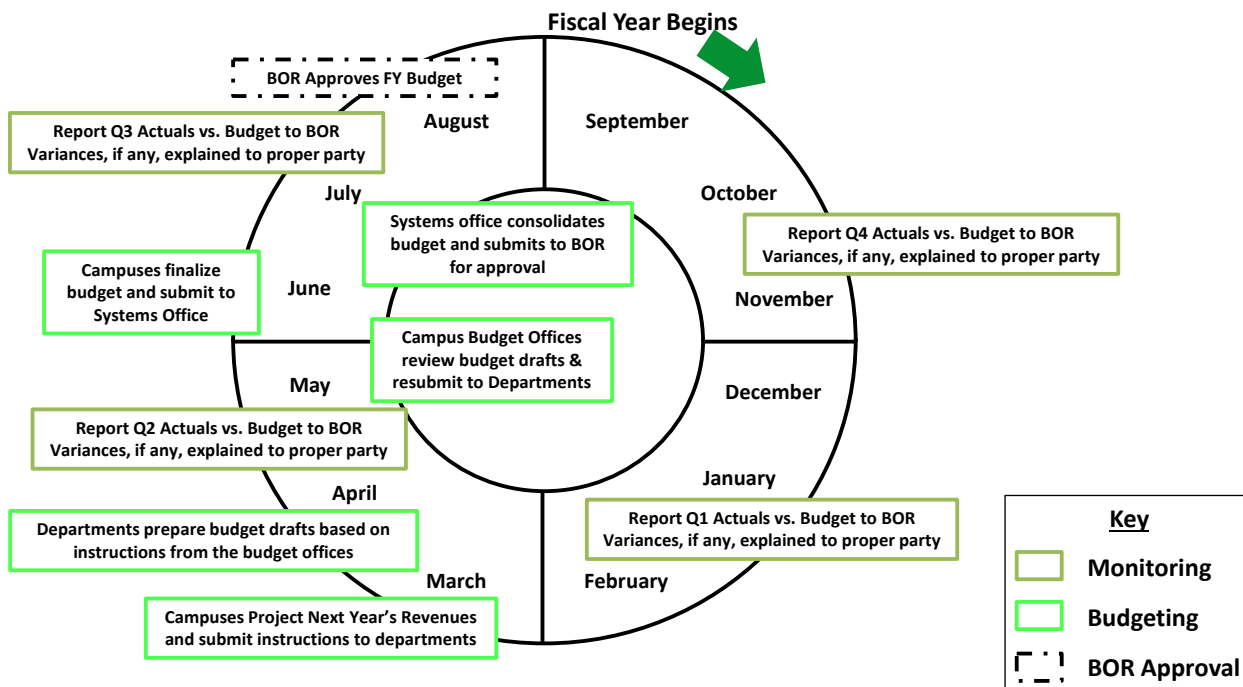
Annual Budgeting Process & Timeline

The University of North Texas System budget offices engage in budgeting during the third and fourth quarters of the Fiscal Year between the months of March and July. The budget offices coordinate with key stakeholders across the System’s units, departments, schools and System Office.

At the beginning of this process, the President of each component unit determines the proposed and preliminary assumptions for the Fiscal Year budget and distributes general guidelines to the budget office. The budget office at each component unit creates guidelines, worksheets, and templates for the identification of strategic priority requests and submits them to the Provosts, Vice Presidents and Departments. The Provosts, Vice Presidents and Departments may have the opportunity to request above base allocations and reallocations between existing funds within their base.

In June/July, the System budget office consolidates the unit budgets into the Budget Summary Book and submits the budget to the Board of Regents for Approval in August.

Below is a brief overview of the Budgeting Process, Timeline, and Review.



General Information

Miscellaneous

FTE Caps – As part of the budget process, please keep in mind your institution’s FTE cap (on appropriated funds) noted in the appropriation bill pattern. If you are going to request an increase in your cap, **please provide the amount of your increase and a justification along with your other supplemental items.** These requests will be consolidated and submitted to the Board via an agenda item for approval. Appropriated funds may not be used to pay all or part of the salaries or benefits of a number of employees which would cause the number of full-time equivalent employees to exceed the lessor of either 110% of your cap or 50 FTE’s. Institution’s FTE cap should be monitored each quarter for compliance. **The justification of the request must include the types of positions requested and the number (Faculty, Staff or Administration). (Article IX, Section 6.10)**

NACUBO Function - Many higher education institutions and systems, throughout Texas and the nation, present their expense budget in a NACUBO function format instead of a natural category format. In some areas

of the budget presentations for FY 2018, expenses may be presented by fund group and NACUBO function as well as in graph format. This information may also be presented to other entities (THECB, LBB, etc.) as requested. During the budget review process we will review the expense budget by comparing actual and budgeted expenses by NACUBO function.

Hyperion Budget Module

Estimates for the FY 2018 annual operating budget will be prepared in the Hyperion budget. Components not utilizing Hyperion as their budget development system must enter their budget information in the Hyperion budget development module. Contact System Budget & Planning for specific instructions regarding automated methods of loading budget information from other sources. It is the responsibility of each component to verify and validate their data as it appears in the Hyperion Planning System.

Subsequent to budget approval by the UNT System Board of Regents, extracts from Hyperion will be provided to component budget offices for validation and preparation of budget journals for the original budget load into EIS.

Contact Information

A contact list (**Attachment 1**) of System Office Budget & Planning staff is provided for your information and use on issues relating to the FY 2018 budget preparation process. A System component Budget Office staff contact list (**Attachment 2**) is provided to facilitate coordination between members during the budget process (i.e., to coordinate transfer from/to accounts, etc.).

Line Item Budget Procedures

This section provides guidance for budgeting individual line items for revenues, expenses, and transfers. Significant deviations from these guidelines should be identified in your school's narrative.

Budget Categories

The levels for entry required for revenue and expense estimates are detailed in **Attachment 3**.

Revenues

Campus budget offices will be responsible for projecting revenues for the component unit based on prior year revenues, expected changes in state and federal funding, and any other projected changes to revenues.

- **Appropriated Benefits (State Appropriations – Additional)** - Revenue for State Appropriated fringe benefits will be recognized as earned (as expended) by System Accounting. Budget Offices should project expenditures and budget accordingly.
- **HEF Revenues** are calculated for each unit by summing the total expected Capital Appropriations – HEF revenue from the State of Texas General Revenue Fund and will be budgeted in Current Funds. The portion of current year HEF appropriations utilized for major Capital Projects will be budgeted as a transfer to Plant Funds (See below for more information on HEF Expenditures and Transfers.)
- **Investment Income** – Investment Income includes revenues received from interest and dividends and Realized Gains or Losses on the Sale of Capital Assets (investments). Investment Income does not include Unrealized Gains or Losses. Projected Investment Income for each component is provided in **Attachment 4**.

- **Net Tuition and Fees** - Tuition and Fees are projected at each component institution utilizing their individual methodologies and must be reduced by appropriate discounts, allowances, and portions of some exemptions.
 - **Discounts, Allowances, Waivers & Exemptions** – These reduce tuition and fee revenue to recognize only those funds received directly from the student and/or a third party payer, such as an employer or their parents.
 - Within the accounting system, discounts and allowances are recorded as contra revenue (offsets to tuition revenue), however, the portions of exemptions that must net against tuition revenue (the excess of exemptions over amounts billed to students) are initially recorded as Scholarship Expense and must be moved through a manual entry each quarter.
 - Budget Offices may request tuition discounting calculations from their respective System Controller or calculate the amounts themselves utilizing the System Controller’s discounting formulas and applying prior fiscal year percentages across current fiscal quarters.
 - **Revenue Recognition** - Tuition and Fee revenues will be recognized in the period when the term/semester commences, regardless of when billing occurs. This revenue recognition treatment better aligns revenues with expenses, and allows discounts and allowances adjustments to occur in line with revenue recognition. Examples:
 - Recognition Spring Tuition revenue will be deferred until January of each fiscal year (Q2) – as the term begins in January.
 - Recognition of Summer II revenue will be deferred until June of each fiscal year (Q4) – as the term begins in July.
- **TRB Appropriations** are included in State Appropriations revenues in Current Funds. Throughout the fiscal year, as Debt Service payments are recorded, corresponding transfers from Current Funds to Plant Funds should be made as Other Inter-Fund Transfers In/(Out). (See below for more information on Debt Service Payments and Transfers.)

Expenditures

Campus budget offices will be responsible for projecting expenditures for the component unit based on prior year expenditures, expected changes in the economy, and any other internal and/or external factors.

- **Debt Service** – A Debt Service Payment schedule is provided for each component in **Attachment 5**. This includes existing debt (bonds and commercial paper), and projected debt issuances based on Fiscal Year 2018 CIP.
 - **Debt Service Payments (Principal & Interest)** will be recorded in Plant Funds (Including TRB Debt Service).

- Unless funded by current fiscal year debt issuances, or prior fiscal year carryforwards in Plant Funds reserves, ***these expenditures should be funded by transfers to Plant from appropriate current funds.***
- Regardless of when payments are due, the budgets for Debt Service Payments will be divided equally throughout the fiscal year –¼ per fiscal quarter.
- **NOTE:** *Qs 1, 2, 3 are estimates based on schedule from Treasury received during budget cycle; adjustments for any changes to debt service schedule during fiscal year due to issuances, refundings, etc., will be made in Q4.*
- **Capital Expenditures – Plant Funds** – for the purposes of the Budget Book, expenditures for major projects included in System Facilities’ current year CIP (including component managed projects included in CIP) should be budgeted in Plant Funds.
 - Unless funded by current fiscal year debt issuances, or prior fiscal year carryforwards in Plant Funds reserves, these expenditures will be funded by transfers to Plant from appropriate Current Funds.
 - For Capital Projects funded from Restricted funding sources, transfers to Plant Funds shall occur only subsequent to expenditure of project funds.
 - **Note** – Capital Expenditure amounts presented in the Plant Funds column of the Annual Operating Budgets are meant to capture the current year portion of the System Facilities, Planning, & Construction’s Construction-In-Progress Annual 5-year plan (which incorporates some campus managed projects). However, due to timing and differences in methodologies, the figures in the Plant Funds column of the Annual Operating Budgets will not necessarily be representative of, and will not be cross-referenced to the data in UNT System Facilities, Planning, & Construction. The Consolidated Operating Budget Book will include specific notes regarding this topic.
- **HEF Expenditures** –The portion of current year HEF appropriations utilized for major Capital Projects to be recorded in Plant Funds will be budgeted as Capital Expenditures in Plant Funds associated with and identified with specific capital projects using Fund Category 106 and the appropriate ProjectID. A corresponding transfer from Current Funds (Fund Cat 105) to Plant Funds (Fund Cat 106) shall be budgeted and recorded in Other Inter-Fund Transfers In/(Out).
- **Maintenance & Operations** - The budget template includes Maintenance & Operations expenses broken out into multiple CAFR consistent line items to provide more transparency in the System’s operations. In order to simplify budgeting in this template, the budget office at each Unit should provide each department with the Fiscal Year 2017 actual expenditures as a guideline for the Fiscal Year 2018 budgeting process.

Transfers

The budget template includes transfer line items. System Budget and Planning offices will project transfers for the component units based on shared and core services costs, debt service, and other required Inter-Unit Transfers. Component budget offices are responsible for projecting transfers for capital expenditures, state agency funds, and any other projected transfers between funds, components or other outside agencies.

Intra-campus Transfers Between Funds

- **Inter-fund Transfers In/(Out)** are calculated for each unit by summing all of the transfers between Education & General; Designated Operating; Auxiliary Enterprises; Restricted Expendable; Endowment; Loan; Gift; Plant & Debt; and Agency funds.
 - As referenced above, transfers to Plant Funds to fund Capital Expenditures and Debt Service payments are recorded as Inter-Fund Transfers In/(Out) as expenditures occur or to fund projects in advance (excluding Restricted.)

Transfers Between UNTS Components

- **Shared Services** is calculated for each unit by summing all of the transfers between Components of the System. Includes those transferred to UNT System Administration for the Business Service Center, IT Shared Services, and Human Resources. Note that a detailed description of budgeting for this line item is included in the Specific Budget Procedures section herein.
- **Core Services** is calculated for each unit by summing all of the transfers to the UNT System Administration for system office services such as financial services and executive leadership. Note that a detailed description of budgeting for this line item is included in the Specific Budget Procedures section herein.
- **Other Inter-Unit Transfers In/(Out) vs Internal Income/Internal Charge** – In general, Internal Income/Internal Charge paired transaction codes should be used exclusively for transactions occurring within the same business unit, while Other Inter-Unit Transfers In/(Out) (71001/71003, *specific codes may exist for specific cross component transfers) should be used exclusively for transactions occurring across component business units. ***However, transactions processed by/through/from Service Centers – Telecom, UNT Printing Services, Construction Management Fees, WILL CONSISTENTLY BE TREATED AS AN EXCEPTION TO THIS GUIDELINE AND WILL BE RECORDED AS INTERNAL INCOME/INTERNAL CHARGES.***

Estimated Fund Balances

The budget template includes estimated Beginning Fund Balances, Planned Uses of Carry Forward Balances, Other Changes in Fund Balances and Ending Fund balances. Estimated FY 2018 beginning net position by fund group will be determined by the amounts submitted in the supplemental budget information file (**Attachment 6**). The balances entered are projections of your net position as of August 31, 2017

Use of Reserves

Reserves should only be used to fund one-time expenditures that will result in future cost reductions or increases in income or expenditures of carryover balances. Any use of reserves to support the FY 2018 operating budget should be included in the beginning fund balances as entered. **Attachment 7** will be submitted to System Office of Budgets and Planning no later than the budget due date (see budget calendar). Each CFO must be prepared to justify the use of reserves for operating expenses in accordance with the Reserves Policy herein.

Budget Review

The System Office of Budgets and Planning will review all budgets prior to review by the Chancellor and subsequent submission to the Board. Each member will be required to provide a narrative (to be included in the Executive Budget Summary) to summarize the overall budget submission for FY 2018.

Executive Summary/Board of Regents Presentation

Each Component Unit and the System Office of Budgets and Planning (consolidated) will prepare an Executive Budget Summary of the proposed budgets which will be provided to the Chancellor for review. An electronic copy of the Executive Budget Summaries will also be provided to each System member President and CFO.

Copies of the Executive Budget Summaries will be distributed to the Board of Regents prior to the Board of Regents Meeting and will be used as the basis for the FY 2018 budget approvals. Presidents should be prepared to address any specific budgetary questions relating to their budget. Any changes in information to be submitted to the Board of Regents as determined by the Board of Regents Finance Committee will be relayed to Presidents and CFOs prior to the Board of Regents Meeting in August 2018.

Budget Distribution

Upon Board approval, the System Office of Budgets and Planning will coordinate the distribution of budgets in accordance with the Education Code, the General Appropriations Act, and any other state requirements; and add the FY 2018 Executive Budget Summary and the FY 2018 Operating Budget Statement of Changes in Fund Balance to the UNTS Operating Budget web site (<http://www.untsystem.edu/financialreports.htm>).

Glossary of Terms

All Funds – An all-funds perspective is commonly used in colleges, universities, and not-for-profit organizations to account for all resources received and used throughout an institution. Fund accounting classifies resources into funds according to limitations placed on their use by the resource providers. Each fund has its own revenues, expenditures, transfers, assets, liabilities, and fund balances.

Auxiliary Enterprises – Auxiliary Enterprise funds are generated from fees and sales of goods and services. Revenues and expenditures of auxiliaries are recorded in this fund group. Auxiliaries include parking and transportation, student activity centers, housing (residence halls), and dining services. Fees collected to support auxiliaries, such as housing fees and parking fees, are recognized in these funds.

Capital Appropriations-HEF – Higher Education Fund (HEF) revenues are received from the State of Texas General Revenue Fund for construction and other capital purposes. This constitutional appropriation is made for acquiring land with or without permanent improvements, constructing and equipping buildings or other permanent improvements, major repair or rehabilitation of building or other permanent improvements and acquisition of capital equipment, library books, and library materials. Construction, improvements, and capital equipment purchases made from HEF funds can only be used for structures used jointly for educational and general activities and for auxiliary enterprises to the extent of their use for educational and general activities.

Capital Expenditures – These expenditures are for acquiring, renovating, or maintaining capitalized fixed assets, such as land, buildings, and equipment. This includes amounts expended for capitalized equipment, vehicles, software, leases, construction projects, and other capitalized expenditures. Any emergency maintenance or repairs that are above the capitalization thresholds should be included in capital expenditures. At the consolidated funds level, this amount will net to exclude amounts recorded as additions to capital (rather than as an expense) consistent with accounting guidelines.

Communication and Utilities – These expenditures are for communication and utilities fees, including amounts for telecommunication and utilities contracts.

Core Services – Includes functions that are universal in nature, many do not vary largely based on the customer, are generally performed on a cross-institutional level, and may be legally mandated to take a certain level of direction from institutions in service delivery. Includes functions such as support for the Board of Regents, the Chancellor's Office, Academic Affairs, Finance, General Counsel, Government Relations, Internal Audit and Facilities Planning and Construction. These services are funded by transfers from the component units and State Appropriations.

Cost of Goods Sold – These expenditures are incurred by UNTS for goods that are sold, which usually generate revenue classified as Sales of Goods and Services.

Current Funds – Category of funds that include those funds that are most closely associated with day-to-day operations of the institution. These funds include Education & General, Designated Operating, Auxiliary Enterprises, and Restricted Expendable Funds and are approved by the governing board as part of the operating budget.

Debt Service - Interest – These expenditures are comprised of interest expenditures incurred on debt, including amounts for interest expenditures, and fiscal charges.

Debt Service - Principal – These expenditures comprise payments of principal due on debt.

Depreciation and Amortization – Depreciation and amortization expenditures are non-cash expenditures related to the amortization of capitalized amounts over time. Depreciation expenditures reduce the book value of capital assets to reflect the result of wear and tear, age, and/or obsolescence. Depreciation and amortization expenditures are generally recorded in Plant & Debt Funds.

Designated Operating – Designated Operating funds are unrestricted funds that have been designated to support the operating activities of the institution. Revenues and expenditures for operating activities of the academic enterprise are recorded in this fund group.

The sources of Designated Operating funds include revenues from professional services (e.g., medical services), grants and contracts (including cost recovery), designated tuition, other student fees, and quasi-endowment funds (e.g., Tobacco Funds).

Student fees collected as Designated Operating funds may be statutorily authorized under specific legislation, or may be allowable as mandatory or incidental fees under 54.504 or 55.16(c) of the Texas Education Code (TEC). Fees in Designated Operating funds include instructional fees, library use fees, publication fees, international education fees, and technology fees.

Most athletics revenues and expenditures are recorded in Designated Operating funds.

Discounts and Allowances – Discounts and allowances are defined as the difference between the stated charge to the student and what is actually paid by the student and/or third parties on behalf of the student. Discounts and allowances are generally given as institutional merit-based and/or need-based scholarships to offset the cost of tuition, fees, and/or housing and dining expenditures.

Educational and General – Educational and General (E&G) funds are used to support the University of North Texas System (UNTS) general educational operations, including faculty salaries, operating expenditures of instructional departments, library operations and acquisitions, general administration, student services, campus security, and operation and maintenance of educational and general buildings and facilities, as well as a limited number of special research units. E&G funds may only be expended for purposes as defined by the respective sources of funds; and the funds cannot be transferred to any other fund group.

E&G funds include all general revenue and general revenue-dedicated state appropriations. Biennially, in the General Appropriations Act (GAA), universities are allocated (appropriated) funds based on legislative decisions and formulas calculated by the Texas Legislative Budget Board. These appropriations include general revenue funds (e.g., appropriations for employee benefits and Texas Higher Education Fund appropriations for capital investments) and general revenue-dedicated funds (e.g., statutory and Board-authorized tuition and fees).

Appropriations of federal funds and other funds (e.g., Tobacco Funds) are not considered E&G and are recorded separately in designated operating or other funds.

The chart of accounts segregates E&G funds between General Operating Funds (general revenue-dedicated appropriations for statutory and Board-authorized tuition and fees) and State Appropriations (all other appropriations).

Endowment Funds – Endowment Funds include net income (realized and unrealized gains and losses) from the investment of gifts to the university, the uses of which are either restricted by donors or unrestricted. Endowment Funds may also include investment income from funds designated by administrative decision (quasi-endowment).

Defined amounts of income from the Endowment Funds are distributed to Designated Operating funds, Auxiliary Enterprises funds, and Restricted Expendable funds according to the designations of the respective donors. Endowment Funds do not include those of separately-incorporated foundations. Funds not distributed remain in the Endowment Funds to be invested and expended at a later time.

Fees – This consists of revenues generated from fees assessed to students. The fees are categorized as either instructional fees, mandatory fees (e.g., student service fee, intercollegiate athletics fee, library use fee, etc.), or incidental fees (e.g., lab fees, graduation fee, etc.).

Fund Balances – A fund balance is identified as the net difference between a fund’s assets and liabilities. A change in fund balance represents the difference between fund additions (revenues and transfers-in) and deductions (expenditures and transfers-out). This differs from (but is inclusive of) institutional operating reserves which are funds within the unencumbered balance for which no use is presently planned and have been set aside for issues such as economic uncertainties, future apportionments, pending salary or price increase appropriations, etc. These reserves can include unrestricted-undesignated fund balances, and can also include unrestricted-designated fund balances, but should not include funds set aside for future capital replacement needs, future debt service needs, etc.

Gift Income – This includes amounts for operating and non-operating purposes. Gift income may occur in any fund group except E&G funds for which the donor may or may not set restrictions on use of the funds.

Grants and Contracts – These revenues result from grants, contracts, and cooperative agreements with governmental agencies, local, and private organizations for current operations, research or other specified purposes. This includes revenues from federal programs and contracts, federal financial aid, federal pass-through revenue, state programs and contracts, state financial aid, state pass-through revenue, and other grants and contracts.

Higher Education Fund (HEF) – See Capital Appropriations-HEF, above.

Inter-Fund Transfers In/(Out) – This includes all transfers between fund groups within a component unit (i.e., within a campus).

Internal Charges – This line item consists of expenses charged for services performed by one department for another within a single UNTS component (e.g., printing or advertising services performed by one department as a service for another department). These expenses will net to zero at the component level.

Internal Income – This line item consists of internal income earned by one department for services rendered to another department within a single UNTS component (e.g., printing or advertising services performed by one department as a service for another department). These revenues will net to zero at the component level.

Intra-Campus Transfers Between Funds – See Inter-Fund Transfers In/(Out) above.

Investment Income – This includes revenues received from interest and dividends, realized and unrealized gains and losses on investments, and realized gains or losses on the sale of capital assets.

Loan Funds – Loan Funds consist of amounts that are held for making loans to students. These funds are derived from a number of sources, including private and governmental gifts and grants, federal borrowing, and unrestricted allocations. Interest income, in most instances, is returned to this fund as an increase to the available fund balance.

Materials and Supplies – These expenditures relate to general supplies and non-capitalized equipment costs.

Net Professional Fees – Net Professional Fees consist of Gross Professional Fees net of Contractual Allowances and Discounts. Professional fees are generated by physician services, counseling services, business consulting services, architectural services, and endowment services provided by UNTS.

Net Tuition and Fees – Student tuition and fee revenues, net of waivers, discounts, and allowances, are included in Net Tuition and Fees. Statutory tuition is authorized under TEC 54.501 and flows to E&G funds. Board-authorized tuition is authorized under TEC 54.008 for graduate programs and also flows to E&G funds. Per TEC 54.0513, Board-designated tuition amounts are approved by the governing board of UNTS and are recorded in Designated Operating funds.

Non-Current Funds – Category of funds that include those funds that are unpredictable in nature and not as closely associated with day-to-day operations of the institution as those in Current Funds. These funds are provided in the budget as estimates, so as to show the entire anticipated financial impact of the budget on the institution. These funds include Endowment, Loan, and Plant and Debt Funds and are not approved by the governing board as part of the operating budget.

Non-resident Graduate Tuition – This consists of revenue recognized for gross tuition charges to graduate or professional students for instructional services who are **not** Texas residents.

Non-resident Undergraduate Tuition – This consists of revenue recognized for gross tuition charges to undergraduate students for instructional services who are **not** Texas residents.

Other Expenditures – Other expenditures include tax expenditures; insurance expenditures; postage and shipping expenditures; dues, memberships and licenses; patent and royalty expenditures; speaking events; employee training expenditures; non-travel reimbursable expenditures; and other operating expenditures.

Other Inter-Unit Transfers In/(Out) – All other transfers of funds between UNTS component units are recorded here. This includes amounts transferred for reimbursement of special project work, various services rendered by one component to another (e.g., library services), or to pay bond payments for debt securities held by UNT System Administration for the benefit of the component units.

Other Legislative Transfers-In/(Out) – Transfers of legislative appropriations from one UNTS component to another.

Other Revenues – This includes revenues received from other activities not included above.

Other Transfers – Transfers to Other State Agencies and Other Legislative Transfers.

Other Undergraduate Tuition - This includes guaranteed tuition, tuition for repeat courses, and tuition for excess hours, and other amounts not included above.

Personnel Costs (Salaries, Wages and Other Compensation, Benefits and Other Payroll-related Costs) – These expenditures include compensation and benefits provided to faculty (including lecturers and teaching graduate students), staff (including administrators, professionals, support staff, and non-teaching graduate students), and hourly or other temporary employees (including student workers). This includes regular or periodic payments for non-regular work or services (e.g., overtime, supplemental compensation, summer compensation, and bonuses).

Planned Use of Fund Balances – Fund balances (positive or negative) that, with approval, are carried forward from the previous year’s budget into the current year’s budget to be used or made up throughout the fiscal year.

Plant & Debt Funds – Plant and Debt Funds include unexpended plant funds, renewal and replacement funds, retirement of indebtedness funds, and investments in plant assets. These funds are used for the construction, renovation, and the acquisition of capital assets.

Printing and Reproduction – These expenditures relate to printing and copying expenditures paid to external vendors for printing expenditures, publications, and copying services.

Professional Fees and Services – These expenditures relate to unique services that are typically performed by professionals whose occupation is the rendering of such services exclusive of any employment by UNTS. These expenditures occur through accounts payable (i.e., rather than through payroll). Examples include consultant services; medical and veterinary; advertising fees; audit, financial and business services; legal expert services; collection agency services; architectural and engineering services; and other purchased services.

Rentals and Leases – These expenditures relate to non-capitalized lease and rental fees.

Repairs and Maintenance – These expenditures relate to non-capitalized projects, scheduled maintenance, emergency maintenance and repairs, and other non-capitalized amounts.

Resident Graduate Tuition – This consists of revenue recognized for gross tuition charges to graduate or professional students for instructional services who are Texas residents.

Resident Undergraduate Tuition – This consists of revenue recognized for gross tuition charges to undergraduate students for instructional services who are Texas residents.

Restricted Expendable – Restricted Expendable funds are generated from external sources that restrict the use of the funds. Sources of Restricted Expendable funds include restricted federal grants and contracts, restricted state grants and contracts, gifts and grants from private sources, and restricted distributions from endowments.

Restricted grant and contract funds are not earned until the terms of the agreement under which they were given have been met. Fiscal year budgets include estimates based on historical activity, but actual amounts may vary notably from year-to-year based on the timing and amounts of awards.

Gifts and grants in Restricted Expendable funds include revenues from bequests and pledges for operating purposes. These also include unrestricted gifts from private sources.

Sales of Goods and Services – This consists of revenues generated from the sales of goods and services. These revenues include those generated from athletics sales, auxiliary enterprises sales and services (net of discounts and allowances), library services, property rental revenues, clinical operations, and other sales of goods and services.

Scholarships, Exemptions, and Financial Aid – Scholarships, exemptions, and financial aid expenditures are for grants-in-aid or other financial aid payments, as well as tuition exemptions, awarded to students. This includes amounts received in revenues (e.g., federal financial aid) which are then recorded as an expenditure (as scholarships, exemptions, and financial aid) to fund tuition and fee payments.

Shared Services – Includes activities that may have been performed at the institutional or departmental level. Service delivery may be shaped by institutional factors and include transactions that are formed to support operations. Includes the following functions: Information Technology, Business Support Services and Human Resources. These services are funded by transfers from the component units.

State Appropriations – State Appropriations are revenues received from the State of Texas General Revenue Fund that supplement institutional revenue in order to meet operating expenditures such as faculty salaries, employee benefits, utilities, and institutional support. State Appropriations are split between State Appropriations-General and State Appropriations-Additional. State Appropriations may only be used for defined purposes and must be recorded in E&G funds as described above.

Transfers Between UNTS Components – Transfers between components of the UNTS that are used to fund core System Administration operations, shared services or other activities one component performs for another.

Transfers to Other State Agencies In/(Out) – This consists of transfers to other Texas state agencies.

Travel – Travel expenditures include direct expenditures for domestic and international travel and entertainment costs, as well as amounts reimbursed to employees for such incurred costs.

Waivers – Waivers are recorded as reductions to the gross tuition and fee amounts noted above.

**Title:** Approval of UNTS FY18 Capital Improvement Plan and Amending the FY17 Capital Improvement Plan**Background:**

Institutions of the University of North Texas System have each prepared a five-year capital improvement plan as part of their overall planning process. These plans have been compiled in the UNTS FY2018 Capital Improvement Plan (CIP) which is presented for the Board's action.

The CIP includes ten newly proposed projects to commence in FY2018 totaling \$59.49 million; planned FY2018 expenditures for these projects total \$19.28 million. The CIP includes a system-wide summary for these projects as well as separate summaries for each institution. In addition, for the FY2018 listed projects, the plan includes individual data sheets incorporating all pertinent data on project scope along with a project description and justification of project need; project budget; preliminary schedule; and identified funding sources.

The CIP also includes \$627.62 million of previously approved projects that are currently in the design and construction phase; planned FY2018 expenditures for these projects total \$233.02. This includes eighteen amendments to projects in the prior year (FY2017) CIP. The following amendments are primarily adjustments to budgets based on further development of planning documents and estimates reflecting current market conditions; in addition, two previously approved projects have been expanded to include larger project scopes and budgets requiring new project approval.

- Project 2.20. Decrease the project budget for Matthew Hall MEP by \$3 million as a result of a reduction in project scope
- Project 2.21. Decrease the project budget for Wooten Hall MEP by \$1.7 million as a result of a reduction in project scope. The eliminated scope will be undertaken as part of Project 16-2.77
- Project 2.33. Increase the project budget for Willis Library MEP by \$900,000 to accommodate an increase in the cost of labor and materials
- Project 16-1.84a. Increase the project budget for New Residence Hall Phase 1 by \$9.6 million to incorporate the design and construction of a campus tour center for prospective students
- Project 16-2.25. Increase the project budget for General Academic MEP & Interior Renovation by \$2.85 million to include interior renovations
- Project 16-2.55. Increase the project budget for Discovery Park MEP by \$10 million for increased scope that will upgrade building systems to provide improved energy efficiencies throughout the facility
- Project 16-2.63. Kerr Hall Kitchen and Dining Renovation (previously approved budget of \$8.24 million) is being removed from the CIP and the funds reallocated to Project 18-01-0007 for the construction of a new dining hall
- Project 16-2.77. Increase the project budget for Wooten Hall Code Upgrade by \$1.7 million to accommodate the project scope that was eliminated in Project 2.21
- Project 16-2.80. Fouts Field Demolition (previously approved budget of \$5.00 million) is being removed from the CIP and the funds have been reallocated for the

- newly expanded scope outlined in Project 18-01-0008 for the demolition of Fouts Field and the construction of a new parking lot and bus transfer station
- Project 17-01-0001. Increase the project budget for Terrill Hall MEP & Interior Renovation by \$1.5 million to accommodate the additional scope of interior improvements to public areas
 - Project 17-01-0002. Increase the project budget for Coliseum MEP Renovation by \$500,000 to accommodate an increase in the cost of labor and materials
 - Project 17-01-0003. Increase the project budget for Kerr Hall MEP & Renovation by \$1.79 million to accommodate the increase in scope to include additional air handler units, replacement of sewer line services, and minor renovations to the interior corridors and common spaces
 - Project 17-01-0004. Increase the project budget for USB MEP Renovation by \$300,000 to accommodate an increase in the cost of labor and materials
 - Project 17-01-0006. Increase the project budget for Sage Hall Academic Success Center Phase II by \$1.47 million for scope revisions to accommodate continued occupancy of 3rd floor during construction
 - Project 17-01-0007. Increase the project budget for Life Science Building 4th Floor Laboratories Renovation by \$700,000 to accommodate an increase in the cost of labor and materials
 - Project 17-01-0008. Decrease the project budget for Coliseum Roof Replacement by \$1.88 million resulting from a more economical roofing system design
 - Project 16-2.94 Patient Care Center Level 6 (previously approved budget of \$2.5 million) has been removed from the CIP
 - Project 17-03-0002. Decrease the project budget for the Medical Clinic by \$1.00 million to accommodate for a future property acquisition associated with this project

In addition, the plan outlines \$191.84 million in projects planned for the future fiscal years 2019-2022, and also allocates \$8.00 million for future property purchases.

The Board approval of the CIP will provide authority to expend funds up to the total project cost for each project as specified. With approval of the Chancellor, additional funds may be expended in an amount up to 5% in excess of the total project cost, but the increased amount must be reported in an amendment to the CIP. Any larger changes would require action of the Board. Quarterly progress reporting to the Board will be provided by the Vice Chancellor for Facilities Planning & Construction.

Financial Analysis/History:

Funds for all listed FY2018 projects have been allocated by the institutions and confirmed by signature on the plan documents by the respective Presidents and CFOs. Funding plans have been reviewed by the Vice Chancellor for Finance.

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: 2017.08.07 09:23:44 -0500

UNT Chief Financial Officer

Gregory R. Anderson
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 DN: cn=Gregory R. Anderson, o=University
 of North Texas Health Science Center,
 ou=Executive Vice President/CFO,
 email=gregory.anderson@unthsc.edu, c=US
 Date: 2017.08.03 09:52:24 -0500

UNTHSC Chief Financial Officer

daniel.edelman@untdallas.edu
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 Date: 2017.08.03 14:39:14 -0500

UNT Dallas Chief Financial Officer

Janet
Waldron

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email=janet.waldron@untsystem.edu, c=US
Date: 2017.08.07 18:13:23 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
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email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 16:11:54 -05'00'

Vice Chancellor/General Counsel

Schedule:

The planning, design and/or construction of these projects are anticipated to begin in Fiscal Year 2018. A schedule specific to each project is detailed in the attached plan document.

Recommendation:

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

Recommended By:

James Davis

Associate Vice Chancellor for
Facilities Planning & Development

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@untsystem.edu, c=US
Date: 2017.08.08 13:44:42 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
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email=lee.jackson@untsystem.edu, c=US
Date: 2017.08.09 09:23:02 -05'00'

Chancellor

Attachments Filed Electronically:

- UNTS FY2018 Capital Improvement Plan



Board Order

Title: Approval of UNTS FY18 Capital Improvement Plan and Amending the FY17 Capital Improvement Plan

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on August 17-18, 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, UNT, UNTHSC and UNTD, and the System Administration have developed Capital Improvement Plans consistent with the master plans and their strategic plans, and

Whereas, the prior year (FY2017) Capital Improvement Plan has been updated to reflect adjusted project scopes and budgets below,

- Project 2.20. Decrease the project budget for Matthew Hall MEP by \$3 million as a result of a reduction in project scope
- Project 2.21. Decrease the project budget for Wooten Hall MEP by \$1.7 million as a result of a reduction in project scope. The eliminated scope will be undertaken as part of Project 16-2.77
- Project 2.33. Increase the project budget for Willis Library MEP by \$900,000 to accommodate an increase in the cost of labor and materials
- Project 16-1.84a. Increase the project budget for New Residence Hall Phase 1 by \$9.6 million to incorporate the design and construction of a campus tour center for prospective students
- Project 16-2.25. Increase the project budget for General Academic MEP & Interior Renovation by \$2.85 million to include interior renovations
- Project 16-2.55. Increase the project budget for Discovery Park MEP by \$10 million for increased scope that will upgrade building systems to provide improved energy efficiencies throughout the facility
- Project 16-2.63. Kerr Hall Kitchen and Dining Renovation (previously approved budget of \$8.24 million) is being removed from the CIP and the funds reallocated to Project 18-01-0007 for the construction of a new dining hall
- Project 16-2.77. Increase the project budget for Wooten Hall Code Upgrade by \$1.7 million to accommodate the project scope that was eliminated in Project 2.21
- Project 16-2.80. Fouts Field Demolition (previously approved budget of \$5.00 million) is being removed from the CIP and the funds have been reallocated for the newly expanded scope outlined in Project 18-01-0008 for the demolition of Fouts Field and the construction of a new parking lot and bus transfer station
- Project 17-01-0001. Increase the project budget for Terrill Hall MEP & Interior Renovation by \$1.5 million to accommodate the additional scope of interior improvements to public areas

- Project 17-01-0002. Increase the project budget for Coliseum MEP Renovation by \$500,000 to accommodate an increase in the cost of labor and materials
- Project 17-01-0003. Increase the project budget for Kerr Hall MEP & Renovation by \$1.79 million to accommodate the increase in scope to include additional air handler units, replacement of sewer line services, and minor renovations to the interior corridors and common spaces
- Project 17-01-0004. Increase the project budget for USB MEP Renovation by \$300,000 to accommodate an increase in the cost of labor and materials
- Project 17-01-0006. Increase the project budget for Sage Hall Academic Success Center Phase II by \$1.47 million for scope revisions to accommodate continued occupancy of 3rd floor during construction
- Project 17-01-0007. Increase the project budget for Life Science Building 4th Floor Laboratories Renovation by \$700,000 to accommodate an increase in the cost of labor and materials
- Project 17-01-0008. Decrease the project budget for Coliseum Roof Replacement by \$1.88 million resulting from a more economical roofing system design
- Project 16-2.94 Patient Care Center Level 6 (previously approved budget of \$2.5 million) has been removed from the CIP
- Project 17-03-0002. Decrease the project budget for the Medical Clinic by \$1.00 million to accommodate for a future property acquisition associated with this project, and

Whereas, the institutions' Capital Projects Plans have been aggregated in the UNTS FY2018 Capital Improvements Plan (UNTS CIP), and

Whereas, UNTS CIP identifies project scope, justification, budget, funding and schedule for all new projects to commence in Fiscal Year 2018, and

Whereas, funds for Fiscal Year 2018 projects have been identified for expenditure in FY2018 budgets and for the completion of those projects which extend into later Fiscal years, and

Whereas, program and project quarterly status reports will be available to the Board,

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

1. Amend the UNTS FY2017 Capital Improvement Plan as indicated above.
2. The UNTS FY2018 Capital Improvement Plan as presented.
3. Vice Chancellor for Facilities Planning and Construction to present quarterly updates on progress of projects in CIP with data provided by Institutions as needed.
4. Reporting to the Texas Higher Education Coordinating Board as appropriate.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

FY2018 Capital Improvement Plan

UNIVERSITY *of* NORTH TEXAS SYSTEM

FY2018 SUMMARY

UNIVERSITY OF NORTH TEXAS

UNIVERSITY OF NORTH TEXAS DALLAS

UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER

UNIVERSITY OF NORTH TEXAS SYSTEM

FY2018 Capital Improvement Plan
UNIVERSITY of NORTH TEXAS SYSTEM

FY2018 SUMMARY (in \$Million)

NEW PROJECTS FOR FY2018

Proj. No.	Project	Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total Project
University of North Texas									
18-01-0001	Maple Hall MEP & Renovation	AUX		4.38					4.38
18-01-0002	Clark Hall Lobby Renovation	AUX		0.17	2.10				2.27
18-01-0003	Sage Hall Academic Success Center Phase III	HEAF		0.26	2.75				3.01
18-01-0004	Art Building Roof Replacement	CP		1.35					1.35
18-01-0005	Discovery Park Utility Capacity Upgrade	HEAF		2.00					2.00
18-01-0006	Music Building Courtyard Renovation	HEAF	0.09	1.50					2.59
		GIFT			1.00				
18-01-0007	New Dining Hall	RFS	0.20	3.50	15.28	6.49			25.47
18-01-0008	Fouts Field Demolition, Parking, and Bus Transfer Station	RFS		2.00	12.00				14.00
University of North Texas Total			0.29	15.16	33.13	6.49	-	-	55.07
University of North Texas Dallas									
University of North Texas Dallas Total			-	-	-	-	-	-	-
University of North Texas Health Science Center									
18-03-0001	Gross Anatomy Laboratory Renovation	RFS		2.47					2.47
18-03-0002	1408 St. Louis Ave. Renovation	HEAF	0.30	1.65					1.95
University of North Texas Health Science Center Total			0.30	4.12	-	-	-	-	4.42
University of North Texas System									
University of North Texas System Total			-	-	-	-	-	-	-
Capital Improvement Plan Total			0.59	19.28	33.13	6.49	-	-	59.49

Summary by Funding Source

Funding Source	Prior Yrs Budget	2017	2018	2019	2020	2021+	Total
HEAF	0.39	5.41	2.75	-	-	-	8.55
HEAF Reserve	-	-	-	-	-	-	-
Tuition Revenue Bonds	-	-	-	-	-	-	-
Commercial Paper	-	1.35	-	-	-	-	1.35
Private Placement	-	-	-	-	-	-	-
Revenue Bonds	-	-	-	-	-	-	-
Revenue Financing System Bonds	0.20	7.97	27.28	6.49	-	-	41.94
Auxiliary Reserves	-	4.55	2.10	-	-	-	6.65
Grants	-	-	-	-	-	-	-
Student Fees	-	-	-	-	-	-	-
Housing Revenue	-	-	-	-	-	-	-
Gift/Donations	-	-	1.00	-	-	-	1.00
Annual Budget, Operating and Capital	-	-	-	-	-	-	-
Total	0.59	19.28	33.13	6.49	-	-	59.49

FY2018 Capital Improvement Plan

UNIVERSITY *of* NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS

FY2018 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total Project
Previously Approved Projects:									
2.20	Matthews Hall MEP (Amended)	HEAF	1.20						1.20
2.21	Wooten Hall MEP (Amended)	HEAF	3.45						3.45
2.33	Willis Library MEP (Amended)	HEAF	5.16	4.69					9.85
2.34	Hickory Hall MEP	HEAF	3.00						3.00
16-1.20	College of Visual Arts and Design	TRB	27.00	38.00	5.00				70.00
16-1.84	New Residence Hall								
16-1.84a	New Residence Hall - Phase 1 (Amended)	RFS	17.04	28.68	13.18				
16-1.84b	New Residence Hall - Phase 2	RFS				11.86	18.89	12.95	102.60
16-2.25	General Academic Building MEP & Interior Renovation (Amended)	HEAF	0.75						
		RFS			9.60				10.35
16-2.50	Life Science Lab Exhaust Upgrade	HEAF	3.20						3.20
16-2.55	Discovery Park MEP Upgrade (Amended)	HEAF		1.00	9.00	10.00	0.60		20.60
16-2.62a	Maple Common Area Renovation	AUX	1.65						1.65
16-2.65	Sycamore 2nd Floor Renovation (Amended)	HEAF	3.95						3.95
16-2.66	Coliseum Concourse Renovation	RFS	5.50	2.50					8.00
16-2.67	1500 I-35 Building (Amended)	RFS	10.50	2.00					12.50
16-2.77	Wooten Hall Code Upgrade (Amended)	HEAF	2.07	2.16					4.23
16-2.82	Track and Field Stadium (Amended)	RFS	4.00	5.90	2.00				11.90
16-2.85	Sage Hall Academic Success Center	HEAF Reserve	1.85						1.85
17-01-0001	Terrill Hall MEP & Interior Renovation (Amended)	HEAF	0.55	0.25	6.50				7.30
17-01-0002	Coliseum MEP Renovation (Amended)	RFS			0.90	9.50			10.40
17-01-0003	Kerr Hall MEP & Interior Renovation (Amended)								
		AUX	2.10	3.69					5.79
17-01-0004	USB MEP Renovation (Amended)	HEAF	0.30	3.30					3.60
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 (Amended)	HEAF Reserve	0.17						
		HEAF		2.75					2.92
17-01-0007	Life Science Building 4th Floor Laboratories Renovation (Amended)	RFS				0.70	6.30		7.00
17-01-0008	Coliseum Roof Replacement (Amended)	Local/Cash		2.43					2.43
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
Previously Approved Projects Total			97.74	117.15	77.08	32.06	25.79	12.95	362.77
New Projects for Approval:									
18-01-0001	Maple Hall MEP & Renovation	AUX		4.38					4.38
18-01-0002	Clark Hall Lobby Renovation	AUX		0.17	2.10				2.27
18-01-0003	Sage Hall Academic Success Center Phase III	HEAF		0.26	2.75				3.01
18-01-0004	Art Building Roof Replacement	CP		1.35					1.35
18-01-0005	Discovery Park Utility Capacity Upgrade	HEAF		2.00					2.00
18-01-0006	Music Building Courtyard Renovation	HEAF	0.09	1.50					
		GIFT			1.00				2.59
18-01-0007	New Dining Hall	RFS	0.20	3.50	15.28	6.49			25.47
18-01-0008	Fouts Field Demolition, Parking, and Bus Transfer Station	RFS		2.00	12.00				14.00
New Project for Approval Total			0.29	15.16	33.13	6.49	-	-	55.07
Planned Projects with Identified Funding Sources:									
01-0010	Administration Building Renovation	HEAF				1.70	7.20	10.00	18.90
01-0011	Curry Hall MEP	HEAF			0.52	5.25			5.77
01-0012	Underground Utility Repairs	HEAF			0.28	2.73			3.01
01-0013	PAC Foundation Repairs	HEAF				0.20	1.95		2.15
01-0014	Physical Education Building (PEB) MEP & Interior Renovation	HEAF				1.75	17.35		19.10
01-0015	Language Building MEP	HEAF			0.45	5.62	-		6.07
01-0016	Demo and Build New Business Svs Whse	AUX					1.25		1.25
01-0017	SRB MEP Renovation	HEAF				0.26	2.63		2.89
01-0018	RTFP MEP Renovation	HEAF			0.75	7.00			7.75
01-0019	Sage Hall Academic Success Center - Phase IV	HEAF			0.24	1.76			2.00

FY2018 (in \$Million)

University of North Texas

Proj. No.	Project	Funding Source	Prior Yrs	2018	2019	2020	2021	2022+	Total Project
			Budget						
01-0020	Welch St Complex #2 Demolition	HEAF			1.50				1.50
01-0021	Chilton Classroom & Restrooms	HEAF			0.40	4.00			4.40
01-0022	Discovery Park Greenhouse Addition	RFS			3.00				3.00
01-0023	ESSC Envelope Upgrade	HEAF			7.80				7.80
01-0024	New Science & Tech Research Building	TRB				11.76	50.00	36.24	98.00
01-0025	Union Circle Drive Re-surface	AUX				2.00			2.00
01-0026	USB Interior Renovation	HEAF				0.25	2.50		2.75
Planned Projects with Identified Funding Sources Total			-	-	14.94	44.28	82.88	46.24	188.34
Planned Land Acquisitions									
3.01	Land Acquisitions per Master Plan	HEAF		1.00	1.50	1.50	1.50	1.50	7.00
Planned Land Acquisition Total			-	1.00	1.50	1.50	1.50	1.50	7.00
Capital Improvement Plan Total			98.03	133.31	126.65	84.33	110.17	60.69	613.18

Planned Project without Identified Funding Sources

New Construction:

- New Athletics Indoor Practice Facility
- New Sports Arena

Renovation:

- Athletic Center Renovation and Expansion
- Music Building Renovations

Summary by Funding Source

Funding Source	Funding Source	Prior Yrs	2018	2019	2020	2021	2022+	Total
		Budget						
HEAF	HEAF	23.72	18.91	31.69	42.02	33.73	11.50	161.57
HEAF Reserve	HEAF Reserve	2.02	-	-	-	-	-	2.02
Tuition Revenue Bonds	TRB	27.00	38.00	5.00	11.76	50.00	36.24	168.00
Commercial Paper	CP	2.20	1.35	-	-	-	-	3.55
Private Placement	PP	-	-	-	-	-	-	-
Revenue Bonds	RB	-	-	-	-	-	-	-
Revenue Financing System Bonds	RFS	39.24	62.98	86.86	28.55	25.19	12.95	255.77
Auxiliary Reserves	AUX	3.75	8.24	2.10	2.00	1.25	-	17.34
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	-	-	-	-	-	-	-
Housing Revenue	HR	-	-	-	-	-	-	-
Gift/Donations	GIFT	-	-	1.00	-	-	-	1.00
Annual Budget, Operating and Capital	Local/Cash	0.10	3.83	-	-	-	-	3.93
Total		98.03	133.31	126.65	84.33	110.17	60.69	613.18

Approved

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: 2017.08.04 10:14:40 -05'00'

President

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 Maple Hall MEP & Renovation
 Capital Improvement Project No. 18-01-0001



PROJECT DESCRIPTION

Fourteen air handlers will be replaced along with the electrical switchgear servicing Maple Hall. In addition, a fire suppression system will be installed and the fire alarm system will be upgraded. Also, the building laundry room will be renovated to improve operations. This project will be executed in phases to accommodate the continued use of the facility during the regular school year. The first phase will occur of the Winter Break of 2017 to replace the electrical switchgear. All other work will be completed during the second phase in which construction will occur during the Summer of 2018.

PROJECT INFORMATION

JUSTIFICATION: The existing air handlers were installed in 1964. The typical useful life of these units is 30 years. They have exceeded their useful life and need to be replaced with more energy efficient units. In addition, the laundry room in its current configuration is inefficient and requires repair to the aging plumbing systems serving the room.

LOCATION ON CAMPUS: 1621 Maple Street, Denton TX
SIZE (ASF/GSF): GSF: 136,190 ASF: 91,798
CIP PROJECT TYPE (NEW CONST. OR RENO.): Renovation
HISTORICALLY SIGNIFICANT? (Y or N): N
CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Design Fees	\$ 45,000
Construction Costs	\$ 3,533,503
Other Costs (Commissioning, Inspection, etc.)	\$ 10,000
Furniture, Fixtures, and Equipment	\$ 100,000
Contingency and Fees	\$ 691,497
Total Projects	\$ 4,380,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
AUX	Auxiliary Reserves	\$ -	\$ 4.38	\$ -	\$ -	\$ -	\$ -	\$ 4.38
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 4.38	\$ -	\$ -	\$ -	\$ -	\$ 4.38

UNIVERSITY of NORTH TEXAS SYSTEM

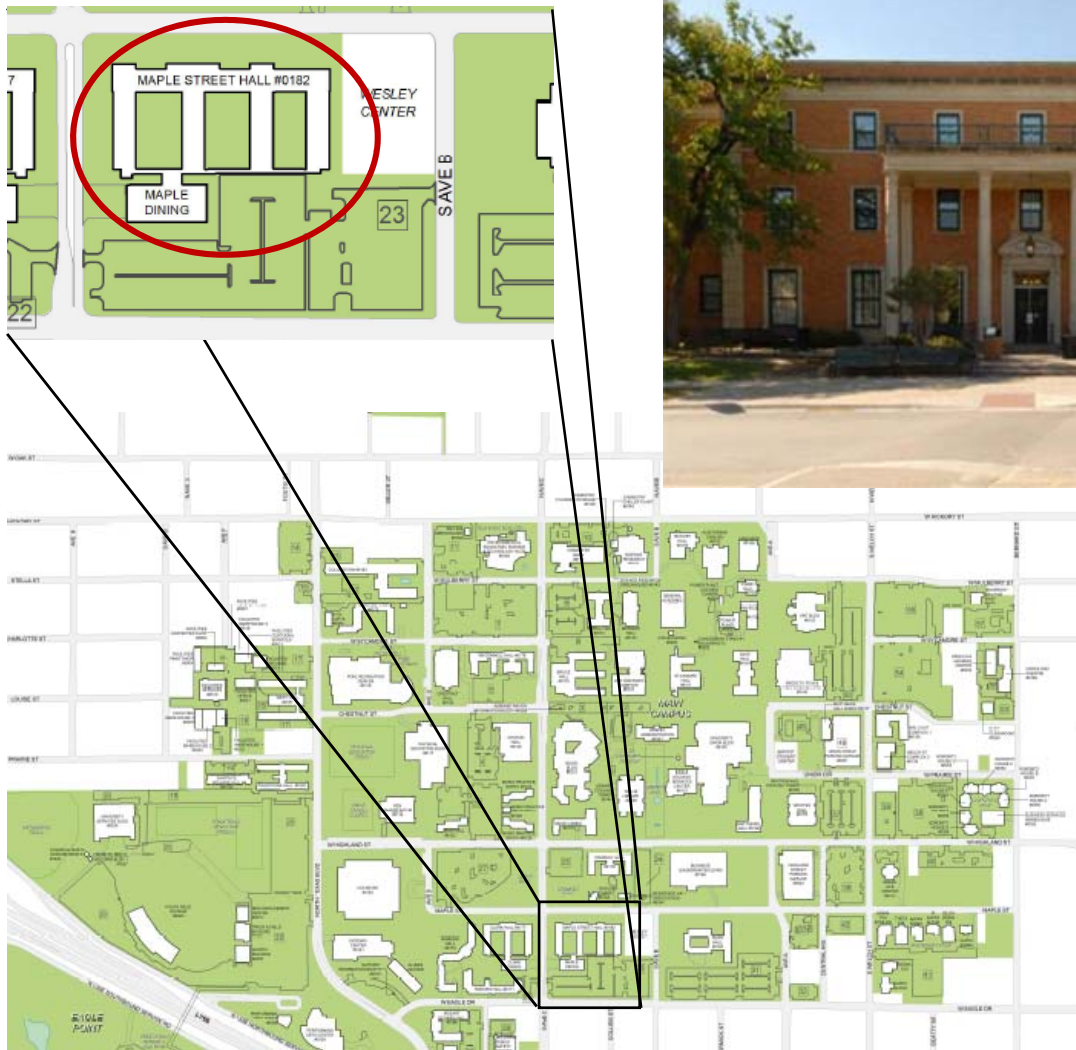
UNIVERSITY OF NORTH TEXAS
Maple Hall MEP & Renovation
Capital Improvement Project No. 18-01-0001



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	N/A
DESIGN:	September 2017-December 2017
CONSTRUCTION:	December 2017 – September 2018
SUBSTANTIAL COMPLETION:	August 2018

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 Clark Hall Lobby Renovation
 Capital Improvement Project No. 18-01-0002



PROJECT DESCRIPTION

This project will renovate the lobby and other public areas of Clark Hall. It will include the renovation of the main lobby entrance, the main desk area, and the activity rooms near the main entrance. Renovations in these areas may include demolition and reconfiguration of the existing partitions to provide a more open design, new flooring, lighting, paint, and furnishings. Finish upgrades to the corridors and selected rooms may also be included. ADA deficiencies will also be addressed.

PROJECT INFORMATION

JUSTIFICATION: Clark Hall was constructed in 1966 and is one of the oldest, continually serving residence halls on campus. It currently accommodates approximately 483 beds. The interior of the facility is dated and requires renovations to common areas, lobby and entry to improve functionality, aesthetic appeal and support for student activities with an increase in collaborative areas. The facility also lacks the required access to student with limited mobility.

LOCATION ON CAMPUS: 1717 Maple St, Denton
SIZE (ASF/GSF): GSF: 7,000 ASF: 4,700
CIP PROJECT TYPE (NEW CONST. OR RENO.): Renovation
HISTORICALLY SIGNIFICANT? (Y or N): N
CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Design Fees	\$ 200,000
Construction Costs	\$ 1,500,000
Other Costs (Commissioning, Inspection, etc.)	\$ -
Furniture, Fixtures, and Equipment	\$ 300,000
Contingency and Fees	\$ 270,000
Total Projects	\$ 2,270,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abbrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
AUX	Auxiliary Reserves	\$ -	\$ 0.17	\$ 2.10	\$ -	\$ -	\$ -	\$ 2.27
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 0.17	\$ 2.10	\$ -	\$ -	\$ -	\$ 2.27

UNIVERSITY of NORTH TEXAS SYSTEM

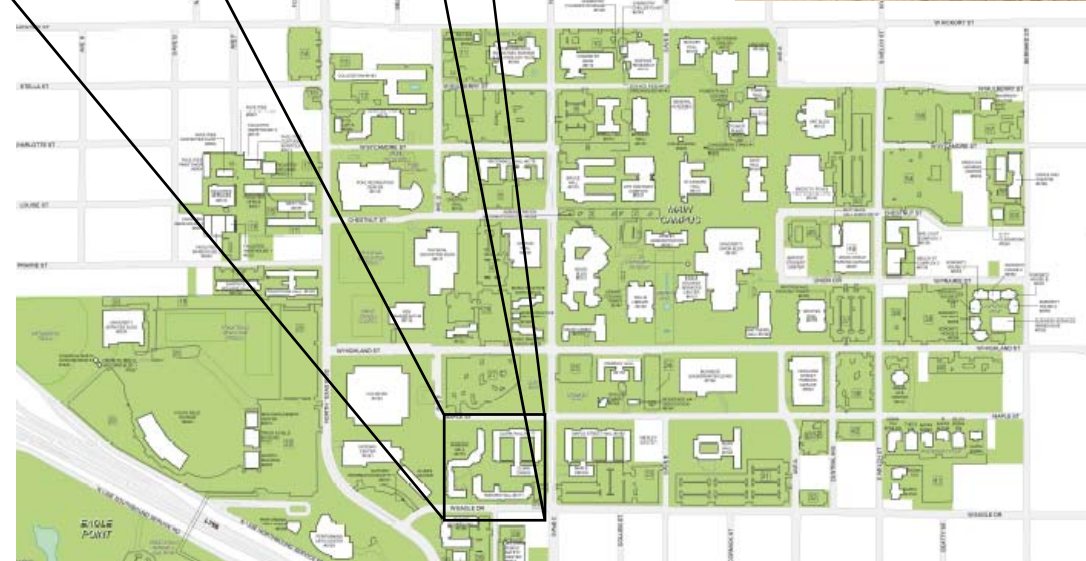
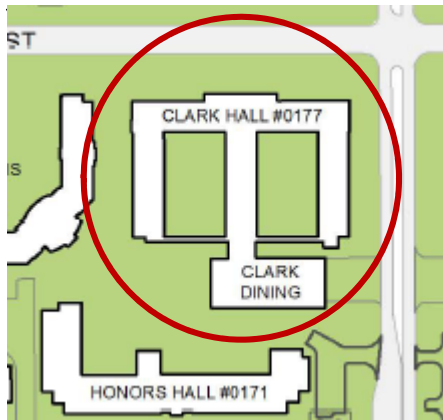
UNIVERSITY OF NORTH TEXAS
Clark Hall Lobby Renovation
Capital Improvement Project No. 18-01-0002



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	September 2017 - November 2017
DESIGN:	November 2017 – March 2018
CONSTRUCTION:	March 2018 – September 2018
SUBSTANTIAL COMPLETION:	August 2018

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 Sage Hall Academic Success Center Phase III
 Capital Improvement Project No. 18-01-0003



PROJECT DESCRIPTION

This project will renovate the second floor of Sage Hall for the Academic Success Center to accommodate the functions for the career center, study abroad, Veterans Center, the UNT Career Connect (QEP), and Terry Scholars. Two existing classrooms will also be renovated. Renovations will include reconfiguration of interior partitions, upgrades to finishes and the necessary MEP alternations.

PROJECT INFORMATION

JUSTIFICATION: The Academic Success Center will serve as a one-stop shop to help student achieve their academic success through centralized support services. In 2016, the design to renovate Sage Hall into an Academic Success Center began. Because the facility needs to remain occupied throughout the renovation, it was planned in four phases.

LOCATION ON CAMPUS: 1167 Union Circle, Denton TX
SIZE (ASF/GSF): GSF: 27,491 ASF: 20,356
CIP PROJECT TYPE (NEW CONST. OR RENO.): Renovation
HISTORICALLY SIGNIFICANT? (Y or N): N
CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Design Fees	\$ 170,000
Construction Costs	\$ 2,100,000
Other Costs (Commissioning, Inspection, etc.)	\$ 140,000
Furniture, Fixtures, and Equipment	\$ 221,000
Contingency and Fees	\$ 379,000
Total Projects	\$ 3,010,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
HEAF	HEAF	\$ -	\$ 0.26	\$ 2.75	\$ -	\$ -	\$ -	\$ 3.01
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 0.26	\$ 2.75	\$ -	\$ -	\$ -	\$ 3.01

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
Sage Hall Academic Success Center Phase III
Capital Improvement Project No. 18-01-0003



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	February 2018 – April 2018
DESIGN:	May 2018 – August 2018
CONSTRUCTION:	September 2018 – February 2019
SUBSTANTIAL COMPLETION:	January 2019

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 Art Building Roof Replacement
 Capital Improvement Project No. 18-01-0004



PROJECT DESCRIPTION

The existing roof membrane and associated material on the existing Art Building requires replacement. In addition, the roof drainage and insulation will be upgraded to comply with current code requirements. The roof access door and rooftop windows will also be replaced. The construction of this project will be scheduled and coordinated with the construction activities currently underway for the new College of Visual Arts Building.

PROJECT INFORMATION

JUSTIFICATION: Due to the condition of the roof and the amount of damage sustained during the April 2014 hail storm event, the existing roof membrane and all associated materials do not meet current code requirements. Due to the additional insulation required, the elevation of the finished roof will be modified. As a result, the access door and window units require replacement to align properly.

LOCATION ON CAMPUS: 1201 W Mulberry St, Denton
SIZE (ASF/GSF): GSF: 34,712 ASF: 0
CIP PROJECT TYPE (NEW CONST. OR RENO.): Renovation
HISTORICALLY SIGNIFICANT? (Y or N): N
CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Design Fees	\$ 50,000
Construction Costs	\$ 1,150,000
Other Costs (Commissioning, Inspection, etc.)	\$ -
Furniture, Fixtures, and Equipment	\$ -
Contingency and Fees	\$ 150,000
Total Projects	\$ 1,350,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abbrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
HEAF	HEAF	\$ -	\$ 1.35	\$ -	\$ -	\$ -	\$ -	\$ 1.35
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 1.35	\$ -	\$ -	\$ -	\$ -	\$ 1.35

UNIVERSITY of NORTH TEXAS SYSTEM

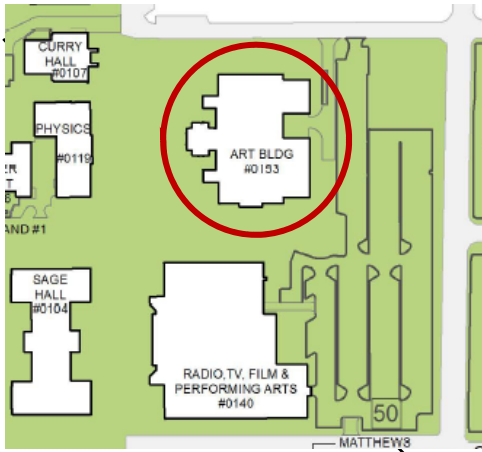
UNIVERSITY OF NORTH TEXAS
Art Building Roof Replacement
Capital Improvement Project No. 18-01-0004



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	N/A
DESIGN:	June 2016 – September 2017
CONSTRUCTION:	March 2018 – September 2018
SUBSTANTIAL COMPLETION:	August 2018

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 DISCOVERY PARK UTILITY CAPACITY UPGRADE
 Capital Improvement Project No. 18-01-0005



PROJECT DESCRIPTION

This project includes additional electrical and mechanical upgrades to meet the expanding needs of Discovery Park. Scope includes adding a new electrical substation and new chiller to increase the capacity of the systems and to begin to provide the capacity for redundancy within the facility.

PROJECT INFORMATION

JUSTIFICATION: Existing Electrical and mechanical Plant has reached capacity. Planned expansions of building require increases in capacity of systems.

LOCATION ON CAMPUS:	Discovery Park	
SIZE (ASF/GSF):	GSF: 582,090	ASF: 324,917
CIP PROJECT TYPE (NEW CONST. OR RENO.):	Renovation	
HISTORICALLY SIGNIFICANT? (Y or N):	N	
CONSISTENT WITH MASTER PLAN (Y or N):	Y	

PROJECT BUDGET

Design Fees	\$ 200,000
Construction Costs	\$ 1,500,000
Other Costs (Commissioning, Inspection, etc.)	\$ 100,000
Furniture, Fixtures, and Equipment	\$ -
Contingency and Fees	\$ 200,000
Total Projects	\$ 2,000,000

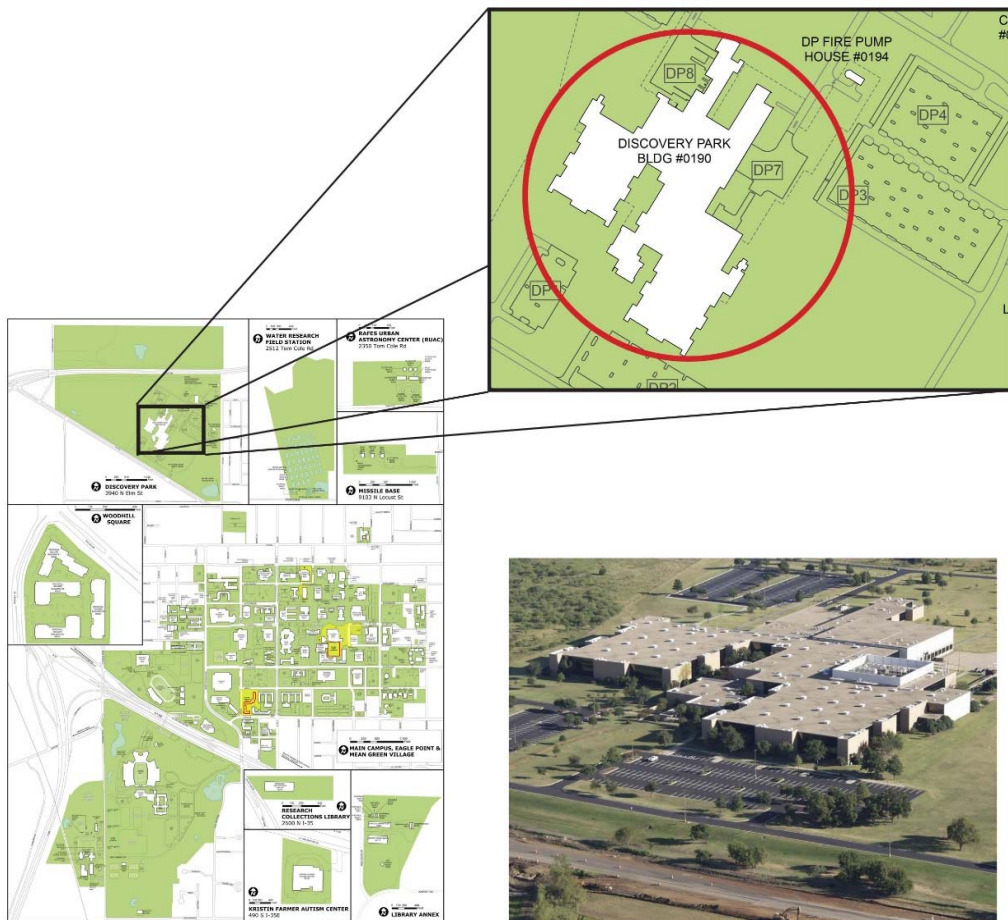
PROJECT FUNDING (in \$ Millions)

Funding Source Abbr.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
HEAF	HEAF	\$ -	\$ 2.00	\$ -	\$ -	\$ -	\$ -	\$ 2.00
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 2.00	\$ -	\$ -	\$ -	\$ -	\$ 2.00

PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	N/A
DESIGN:	September 2017 – February 2018
CONSTRUCTION:	March 2018 – June 2019
SUBSTANTIAL COMPLETION:	May 2019

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS
 Music Building Courtyard
 Capital Improvement Project No. 18-01-0006



PROJECT DESCRIPTION

This project will provide renovations to the existing exterior courtyard located adjacent to the lobby of the Voertman Concert Hall. Renovations may include alterations to the landscaping, modifications and/or replacement of the existing concrete walls and sidewalks, and replacement of the exterior doors connecting the lobby to the courtyard. Infrastructure improvements may also be necessary to improve the drainage in this area. Additionally, audio-visual elements and shade structure may be included.

PROJECT INFORMATION

JUSTIFICATION: The Voertman Concert Hall is one of the premier recital halls in the College of Music. As a result, many patrons, students and faculty pass through the existing courtyard. As it currently exists, the courtyard is in very poor condition and lacks the functionality and aesthetics appeal to be utilized to its fullest capacity. Due to settling and the possible collapse of the drainage infrastructure under the courtyard, surfaces are uneven and the aggregated concrete does not provide that necessary slip coefficient when wet, posing hazards to those that travel through the courtyard. Also due to improper drainage, during heavy weather events water eventually enters the building. Once renovated, the courtyard will provide the desirable and welcoming atmosphere for outdoor programming by the College of Music.

LOCATION ON CAMPUS: 1201 W Mulberry St, Denton
 SIZE (ASF/GSF): GSF: 7,975 ASF: 0
 CIP PROJECT TYPE (NEW CONST. OR RENO.): Renovation
 HISTORICALLY SIGNIFICANT? (Y or N): N
 CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Design Fees	\$ 200,000
Construction Costs	\$ 2,090,000
Other Costs (Commissioning, Inspection, etc.)	\$ 150,000
Furniture, Fixtures, and Equipment	\$ -
Contingency and Fees	\$ 150,000
Total Project	\$ 2,590,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abbr.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
HEAF	HEAF	\$ 0.09	\$ 1.50	\$ -	\$ -	\$ -	\$ -	\$ 1.59
	Gift/Donations	\$ -	\$ -	\$ 1.00	\$ -	\$ -	\$ -	\$ 1.00
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ 0.09	\$ 1.50	\$ 1.00	\$ -	\$ -	\$ -	\$ 2.59

UNIVERSITY of NORTH TEXAS SYSTEM

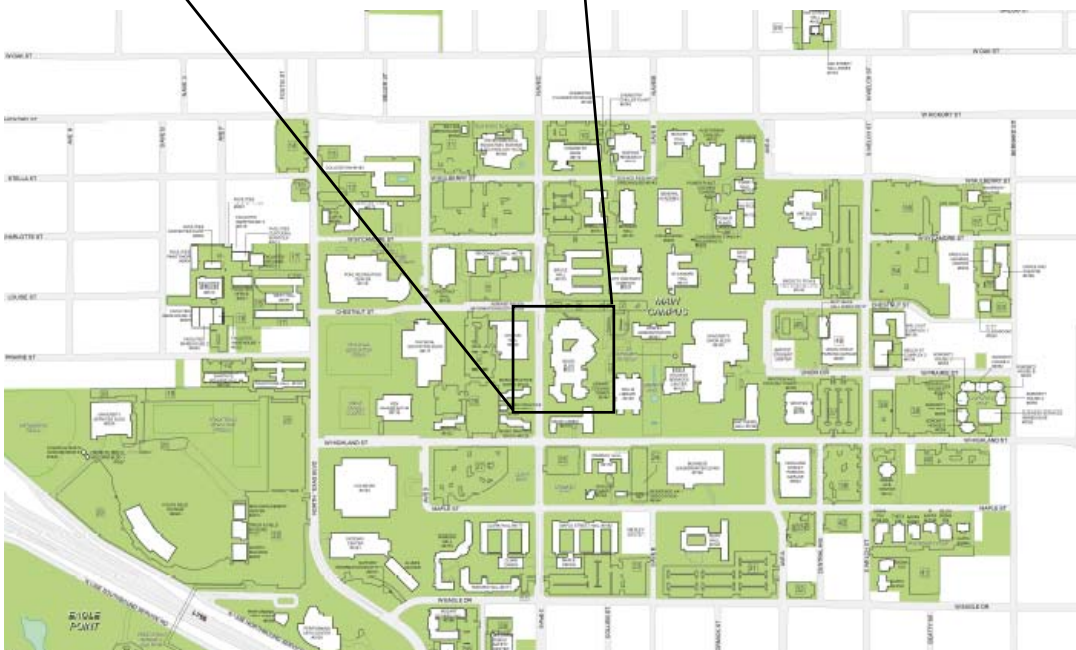
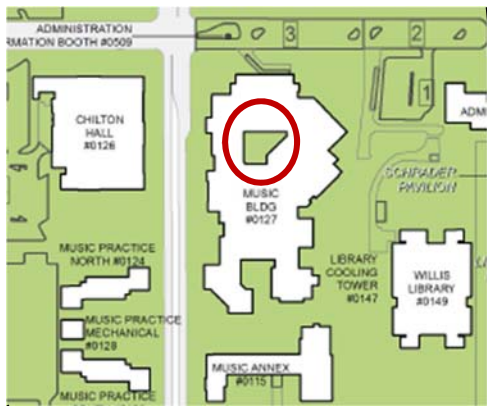
UNIVERSITY OF NORTH TEXAS
Music Building Courtyard
Capital Improvement Project No. 18-01-0006



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	March 2016 – June 2017
DESIGN:	June 2017 – December 2017
CONSTRUCTION:	January 2018 – February 2019
SUBSTANTIAL COMPLETION:	January 2019

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS

New Dining Hall

Capital Improvement Project No. 18-01-0007



PROJECT DESCRIPTION

This project will construct a new stand-alone dining facility. The new facility is anticipated to be approximately 36,200 GSF on two stories and seating for 700. The design of the kitchen and servery area will accommodate the modern approach of maximizing the visibility and accessibility of freshly prepared foods on display. It is also currently planned that the facility will include a retail dining concept.

PROJECT INFORMATION

JUSTIFICATION: The existing Kerr Dining Hall had been planned for renovation as the facility was designed and equipped for an era of meal delivery that was no longer applicable and the MEP systems were inadequate for the current workload. However after the design began, it was determined that the seating capacity would be greatly decreased to comply with current codes once the kitchen and servery was designed appropriately. Without further expansion of Kerr Dining Hall, the reduced seating capacity would not accommodate current demands or future campus growth. As a result, the construction of a new stand-alone dining hall is planned on the site to the east of the Business Leadership Building. The seating capacity of 700 should help to eliminate overcrowding conditions at other dining facility in the core of campus during the peak lunch timeframe and accommodate additional commuter students.

LOCATION ON CAMPUS:	Southeast Corner of Maple Street and Avenue A	
SIZE (ASF/GSF):	GSF: 36,000	ASF: 28,000
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	\$ 1,950,000
Construction Costs	\$ 19,000,000
Other Costs (Commissioning, Inspection, etc.)	\$ 800,000
Furniture, Fixtures, and Equipment	\$ 1,200,000
Contingency and Fees	\$ 2,520,000
Total Projects	\$ 25,470,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
RFS	Revenue Financing System Bonds	\$ 0.20	\$ 3.50	\$ 15.28	\$ 6.49	\$ -	\$ -	\$ 25.47
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ 0.20	\$ 3.50	\$ 15.28	\$ 6.49	\$ -	\$ -	\$ 25.47

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS

New Dining Hall

Capital Improvement Project No. 18-01-0007



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:

PROGRAMMING/PLANNING:

DESIGN:

CONSTRUCTION:

SUBSTANTIAL COMPLETION:

N/A

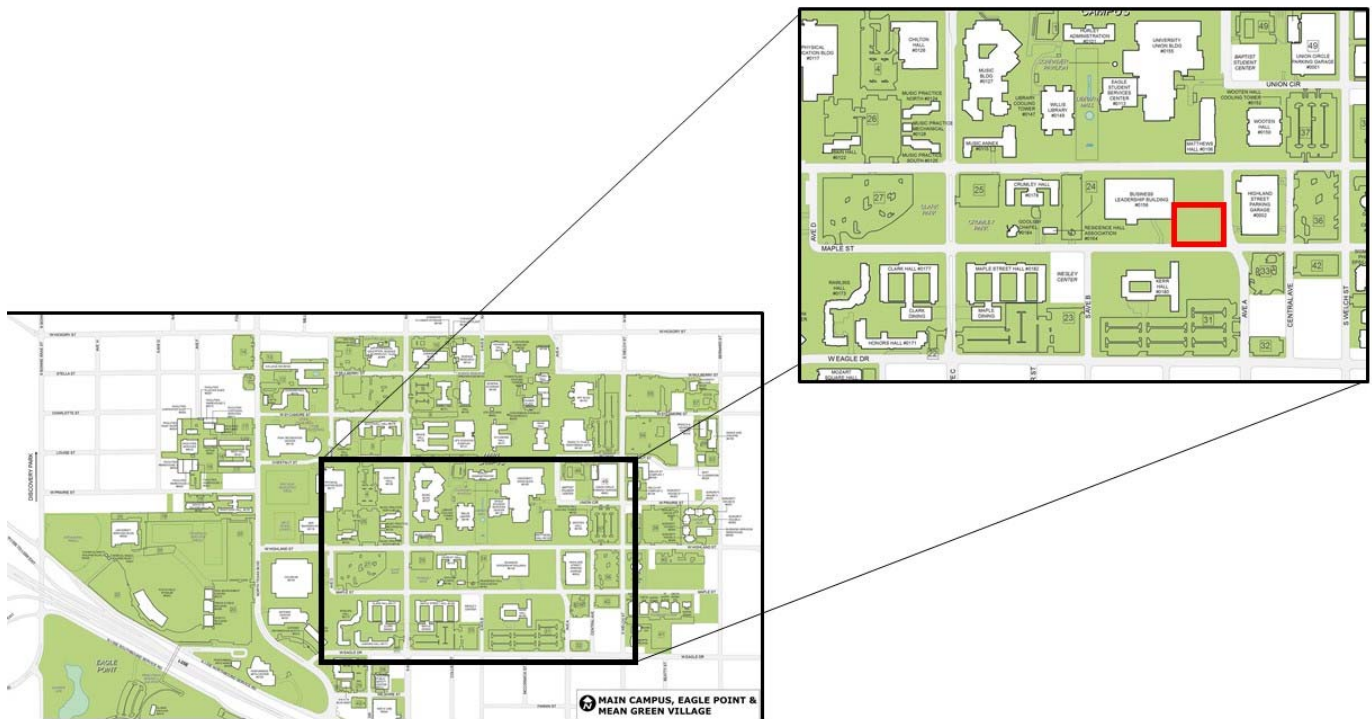
January 2017 – September 2017

September 2017 – October 2018

October 2018 – January 2020

December 2019

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS

Fouts Field Demolition and Construction of Parking and Bus Transfer Station
 Capital Improvement Project No. 18-01-0008



PROJECT DESCRIPTION

This project will demolish the remaining portions of the existing Fouts Field structure and field. Once demolished, surface parking of approximately 1,100 additional spaces will be constructed. The existing parking Lot 20 will be reconstructed and reconfigured as necessary to accommodate efficient use. Also included in the project is the construction of a new bus transfer station at approximately 3,000 gross square feet in Lot 20. The structure will provide protection from the weather and provide restrooms and vending machines for riders.

PROJECT INFORMATION

JUSTIFICATION: Fouts Field was originally constructed in 1951 for use by UNT Athletics for football and track & field teams. Since that time, no major renovations have taken place on the original structure and modifications to the aging facility were anticipated to be costly. After the construction of Apogee Stadium, a portion of the facility was demolished, but a section of the stands and the field had to remain to accommodate track & field. With the construction of the new Track & Field and Soccer Stadium at Eagle Point anticipated to be complete in August 2018, the continued use of Fouts Field will no longer be necessary. As a result, the remaining structure will be demolished. Also, as enrollment continues to grow and as the campus master plan is implemented, surface parking in the core of campus is decreasing. As a result, additional parking is necessary to help mitigate losses of surface parking spaces from construction of recent projects. Once the construction of the new parking spaces is complete, Lot 20 will be one of the largest surface parking lots on the main campus and it is planned to be the transportation hub for connections to external DCTA routes.

LOCATION ON CAMPUS: Main Campus, Fouts Field
SIZE (ASF/GSF): GSF: 3,000 ASF: 2,500
CIP PROJECT TYPE (NEW CONST. OR RENO.): Site Development
HISTORICALLY SIGNIFICANT? (Y or N): N
CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Design Fees	\$ 900,000
Construction Costs	\$ 10,500,000
Other Costs (Commissioning, Inspection, etc.)	\$ 1,000,000
Furniture, Fixtures, and Equipment	\$ 100,000
Contingency and Fees	\$ 1,500,000
Total Project	\$ 14,000,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
RFS	Revenue Financing System Bonds	\$ -	\$ 2.00	\$ 12.00	\$ -	\$ -	\$ -	\$ 14.00
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 2.00	\$ 12.00	\$ -	\$ -	\$ -	\$ 14.00

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS

Fouts Field Demolition and Construction of Parking and Bus Transfer Station
Capital Improvement Project No. 18-01-0008



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:

N/A

PROGRAMMING/PLANNING:

N/A

DESIGN:

November 2017 – August 2018

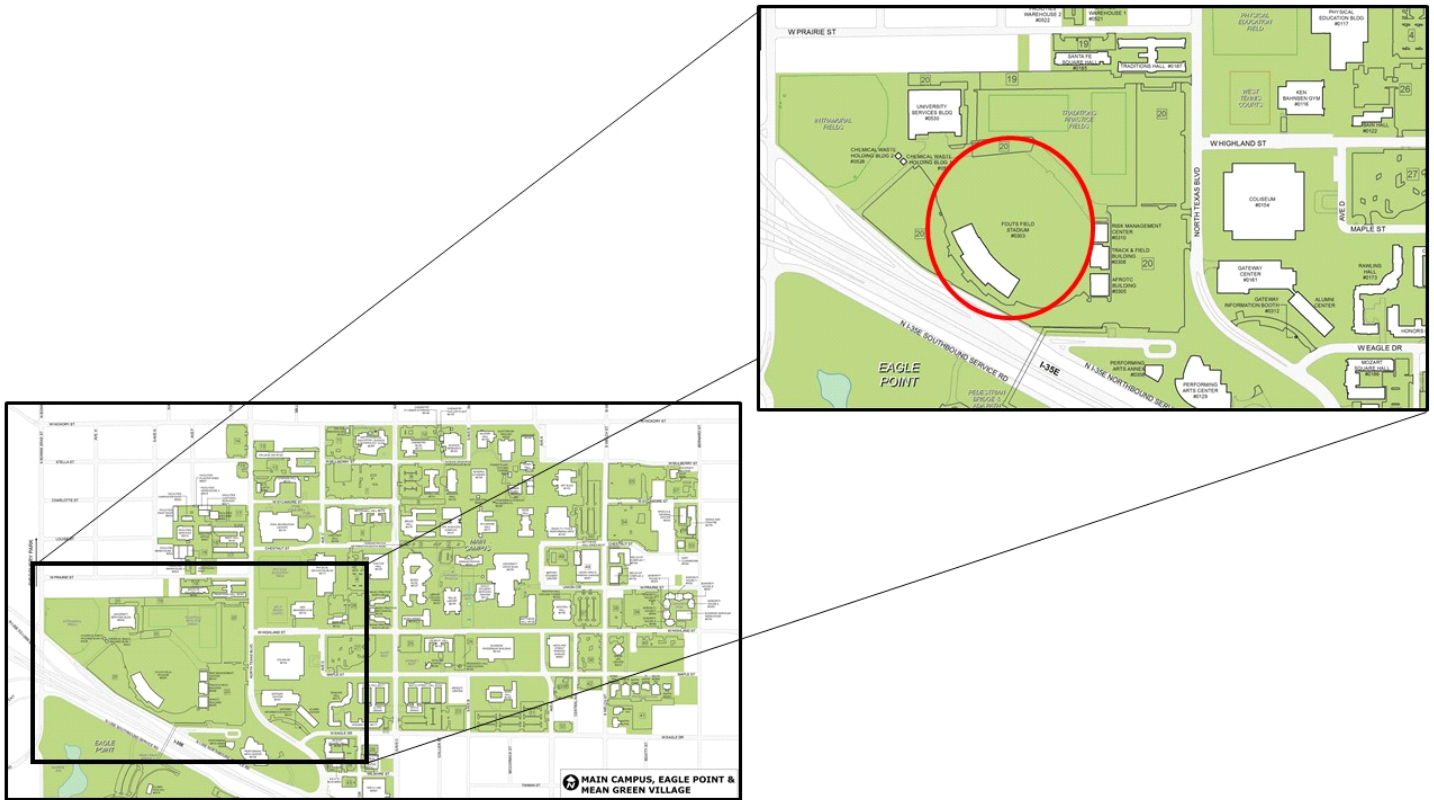
CONSTRUCTION:

August 2018 – December 2018

SUBSTANTIAL COMPLETION:

November 2018

LOCATION MAP



FY2018 Capital Improvement Plan

UNIVERSITY *of* NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS DALLAS

FY2018 Capital Improvement Plan
 UNIVERSITY of NORTH TEXAS SYSTEM



FY2018 (in \$Million)

University of North Texas Dallas

Proj. No.	Project	Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total Project
Previously Approved Projects:									
16-1.01	Student Learning and Success Center	TRB	16.00	33.40	13.60				63.00
16-1.04	Campus Infrastructure	HEAF	1.15						1.65
		CP	0.50						
1.03	Residence Hall (Amended)	RB	7.69						8.50
		Local/Cash	0.81						
Previously Approved Projects Total			26.15	33.40	13.60	-	-	-	
New Projects for Approval:									
New Project for Approval Total									
Planned Projects with Identified Funding Sources:									
Planned Projects with Identified Funding Sources Total									
Planned Land Acquisitions									
Planned Land Acquisition Total									
Capital Improvement Plan Total			26.15	33.40	13.60	-	-	-	73.15

Planned Project without Identified Funding Sources

New Construction:

- Second Residence Hall
- STEM Building
- Business Technology Building
- Event Center
- Parking Garage
- Landmark Tower

Renovation:

Summary by Funding Source

Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total
HEAF	1.15	-	-	-	-	-	1.15
HEAF Reserve	-	-	-	-	-	-	-
Tuition Revenue Bonds	16.00	33.40	13.60	-	-	-	63.00
Commercial Paper	0.50	-	-	-	-	-	0.50
Private Placement	-	-	-	-	-	-	-
Revenue Bonds	7.69	-	-	-	-	-	7.69
Revenue Financing System Bonds	-	-	-	-	-	-	-
Auxiliary Reserves	-	-	-	-	-	-	-
Grants	-	-	-	-	-	-	-
Student Fees	-	-	-	-	-	-	-
Housing Revenue	-	-	-	-	-	-	-
Gift/Donations	-	-	-	-	-	-	-
Annual Budget, Operating and Capital	0.81	-	-	-	-	-	0.81
Total	26.15	33.40	13.60	-	-	-	73.15

Approved

 President

FY2018 Capital Improvement Plan

UNIVERSITY *of* NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER

FY2018 (in \$Million)

University of North Texas Health Science Center

Proj. No.	Project	Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total Project
Previously Approved Projects:									
16-1.40	Interdisciplinary Research Building	TRB	35.70	44.30					121.00
		RFS	8.23	12.57	20.20				
16-2.96	Research and Education (RES) Level 4	RFS	0.01		2.99	1.50			4.50
17-03-0001	East Parking Garage Renovation	RFS		0.40	5.60				6.00
17-03-0002	Medical Clinic (Amended)	RFS			1.00	3.20			4.20
Previously Approved Projects Total			43.94	57.27	29.79	4.70	-	-	135.70
New Projects for Approval:									
18-03-0001	Gross Anatomy Laboratory Renovation	RFS		2.47					2.47
18-03-0002	1408 St. Louis Ave. Renovation	HEAF	0.30	1.65					1.95
New Project for Approval Total			0.30	4.12	-	-	-	-	4.42
Planned Projects with Identified Funding Sources:									
Planned Projects with Identified Funding Sources Total			-	-	-	-	-	-	-
Planned Land Acquisitions									
3.01	Property Acquisition	HEAF		1.00					1.00
Planned Land Acquisition Total			-	1.00	-	-	-	-	1.00
Capital Improvement Plan Total			44.24	62.39	29.79	4.70	-	-	141.12

Planned Project without Identified Funding Sources

New Construction:
 Parking Garage

Renovation:

Summary by Funding Source

Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total
HEAF	0.30	2.65	-	-	-	-	2.95
HEAF Reserve	-	-	-	-	-	-	-
Tuition Revenue Bonds	35.70	44.30	-	-	-	-	80.00
Commercial Paper	-	-	-	-	-	-	-
Private Placement	-	-	-	-	-	-	-
Revenue Bonds	-	-	-	-	-	-	-
Revenue Financing System Bonds	8.24	15.44	29.79	4.70	-	-	58.17
Auxiliary Reserves	-	-	-	-	-	-	-
Grants	-	-	-	-	-	-	-
Student Fees	-	-	-	-	-	-	-
Housing Revenue	-	-	-	-	-	-	-
Gift/Donations	-	-	-	-	-	-	-
Annual Budget, Operating and Capital	-	-	-	-	-	-	-
Total	44.24	62.39	29.79	4.70	0.00	0.00	141.12

Approved

Michael R. Williams
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 Date: 2017.08.03 15:20:13 -0500

President

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER
 Anatomy Lab Renovation
 Capital Improvement Project No. 18-03-0001



PROJECT DESCRIPTION

This project will renovate and expand the existing Gross Anatomy Lab on the 2nd floor of the Research & Education Building (RES) to approximately 6,100 assignable square feet. This will include major HVAC upgrades that are necessary within the lab. The proposed room renovations will accommodate a total of 51 cadaver stations. There will be 35 stations for the Texas College of Osteopathic Medicine (TCOM); 10 stations for the newly established TCU/UNTHSC Medical (MD) School; and 6 for Physical Therapy (PT) and Physician Assistant (PA) student in the School of Health Professions which could be potentially utilized in the future for MD School expansion if needed.

PROJECT INFORMATION

JUSTIFICATION: The existing gross anatomy lab was constructed in 1982. Over time, the lab has been expanded, but the HVAC was not modified sufficiently to accommodate the current square footage. As a result, the environmental conditions within the lab do not adequately support the activities occurring with the lab. In the current configuration, the lab is 4,254 assignable square feet. It is accommodating 40 stations that are tightly configured to support a total of 240 medical student and 125 PT/PA students in fall courses. Once expanded, the laboratory will be able to support a total of 635 students over 4 programs each year to facilitate their training in anatomical sciences.

LOCATION ON CAMPUS:	RES 2 nd Floor	
SIZE (ASF/GSF):	GSF: 7,100	ASF: 6,100
CIP PROJECT TYPE (NEW CONST. OR RENO.):	Renovation	
HISTORICALLY SIGNIFICANT? (Y or N):	N	
CONSISTENT WITH MASTER PLAN (Y or N):	Y	

PROJECT BUDGET

Design Fees	\$ 200,000
Construction Costs	\$ 2,058,957
Other Costs (Commissioning, Inspection, etc.)	\$ -
Furniture, Fixtures, and Equipment	\$ 200,000
Contingency and Fees	\$ 11,043
Total Projects	\$ 2,470,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abbrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
RFS	Revenue Financing System Bonds	\$ -	\$ 2.47	\$ -	\$ -	\$ -	\$ -	\$ 2.47
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ 2.47	\$ -	\$ -	\$ -	\$ -	\$ 2.47

UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER
Anatomy Lab Renovation
Capital Improvement Project No. 18-03-0001



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	N/A
DESIGN:	September 2017 – March 2018
CONSTRUCTION:	March 2018 – August 2018
SUBSTANTIAL COMPLETION:	July 2018

LOCATION MAP



UNIVERSITY of NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER
 1408 St. Louis Ave. Renovation
 Capital Improvement Project No. 18-03-0002



PROJECT DESCRIPTION

This will renovate approximately 13,700 gross square feet of space in the recently purchased office building at 1408 St Louis Ave into administrative offices for the Department of Correctional Medicine which will occupy approximately half of the available space. The remaining portion of the facility will be renovated at a later date for lease space.

PROJECT INFORMATION

JUSTIFICATION: This renovation is needed for our Correctional Medicine Department to be located in the medical district of Fort Worth. This will allow the department to be strategically located with the hospital district to support clinical operations for the current contracts with the Tarrant County jail and the Federal Bureau of Prisons.

LOCATION ON CAMPUS: Located off campus at 1408 St Louis Ave
SIZE (ASF/GSF): GSF: 13,718 ASF: 7,298
CIP PROJECT TYPE (NEW CONST. OR RENO.): Renovation
HISTORICALLY SIGNIFICANT? (Y or N): N
CONSISTENT WITH MASTER PLAN (Y or N): Y

PROJECT BUDGET

Design Fees	\$ -
Construction Costs	\$ 1,732,253
Other Costs (Commissioning, Inspection, etc.)	\$ 12,253
Furniture, Fixtures, and Equipment	\$ 205,494
Contingency and Fees	\$ -
Total Projects	\$ 1,950,000

PROJECT FUNDING (in \$ Millions)

Funding Source Abbrv.	Funding Source	Prior Yrs Budget	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022+	Source Total
HEAF	HEAF	\$ 300,000.00	\$ 1,650,000.00	\$ -	\$ -	\$ -	\$ -	\$ 1,950,000.00
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ 300,000.00	\$ 1,650,000.00	\$ -	\$ -	\$ -	\$ -	\$ 1,950,000.00

UNIVERSITY of NORTH TEXAS SYSTEM

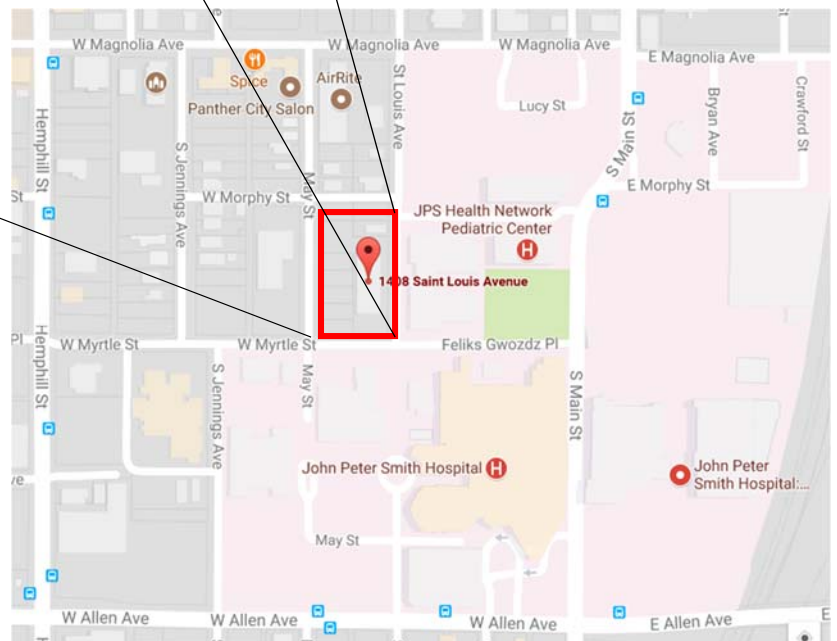
UNIVERSITY OF NORTH TEXAS HEALTH SCIENCE CENTER
1408 St. Louis Ave. Renovation
Capital Improvement Project No. 18-03-0002



PROJECT SCHEDULE

PREVIOUS APPROVALS FROM BOARD OF REGENTS:	N/A
PROGRAMMING/PLANNING:	April 2017
DESIGN:	April 2017 -- June 2017
CONSTRUCTION:	September 2017-December 2017
SUBSTANTIAL COMPLETION:	November 2017

LOCATION MAP



FY2018 Capital Improvement Plan

UNIVERSITY *of* NORTH TEXAS SYSTEM

UNIVERSITY OF NORTH TEXAS SYSTEM



FY2018 (in \$Million)

University of North Texas System

Proj. No.	Project	Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total Project
Previously Approved Projects:									
16-2.01	Renovate Dallas Municipal Bldg and Assoc Law Bldgs	TRB	12.54	25.20	18.26				56.00
Previously Approved Projects Total			12.54	25.20	18.26	-	-	-	56.00
New Projects for Approval:									
New Project for Approval Total			-	-	-	-	-	-	-
Planned Projects with Identified Funding Sources:									
04-0001	Renovation of the Municipal Building for Historical Exhibit	GIFT			3.50				3.50
Planned Projects with Identified Funding Sources Total			-	-	3.50	-	-	-	3.50
Planned Land Acquisitions									
Planned Land Acquisition Total			-	-	-	-	-	-	-
Capital Improvement Plan Total			12.54	25.20	21.76	-	-	-	59.50

Planned Project without Identified Funding Sources

New Construction:

Renovation:

- System Building 8th Floor
- System Building Floors 2-4
- 1900 Elm Street Lobby

Summary by Funding Source

	Funding Source	Prior Yrs Budget	2018	2019	2020	2021	2022+	Total
HEAF	HEAF	-	-	-	-	-	-	-
HEAF Reserve	HEAF Reserve	-	-	-	-	-	-	-
Tuition Revenue Bonds	TRB	12.54	25.20	18.26	-	-	-	56.00
Commercial Paper	CP	-	-	-	-	-	-	-
Private Placement	PP	-	-	-	-	-	-	-
Revenue Bonds	RB	-	-	-	-	-	-	-
Revenue Financing System Bonds	RFS	-	-	-	-	-	-	-
Auxiliary Reserves	AUX	-	-	-	-	-	-	-
Grants	GRNT	-	-	-	-	-	-	-
Student Fees	SF	-	-	-	-	-	-	-
Housing Revenue	HR	-	-	-	-	-	-	-
Gift/Donations	GIFT	-	-	3.50	-	-	-	3.50
Annual Budget, Operating and Capital	Local/Cash	-	-	-	-	-	-	-
Total		12.54	25.20	21.76	0.00	-	-	59.50

Approved

Chancellor

Board Briefing



Committee: Finance & Facilities

Date Filed: July 7, 2017

Title: Resolution Declaring Intention to Reimburse Certain Expenditures with Proceeds from Debt

Background:

For the University of North Texas System (the "System") to proceed with the design, planning, acquisition and/or construction of various capital projects, costs (not to exceed \$350,000,000) will be incurred prior to the issuance of debt obligations, or establishment of other funding mechanisms, to finance the projects.

It is intended that the System reimburse itself for such payments through the issuance of tax exempt or taxable debt obligations, or other funding mechanisms, to finance the projects, as permitted by law.

Financial Analysis/History:

The proposed projects intended for reimbursement are the projects listed in the UNTS Capital Improvement Plan for Fiscal Year 2018 and described as being debt financed. Projects may change in scope and cost.

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:

Effective upon approval by the Board of Regents

Recommendation:

It is recommended that the Board of Regents authorize UNT System institutions to reimburse themselves for costs (not to exceed \$350,000,000) incurred prior to the issuance of debt obligations or other method of project financing.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury
and Reporting

Lee
Jackson

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Chancellor



Board Order

Title: Resolution Declaring Intention to Reimburse Certain Expenditures with Proceeds from Debt

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

Whereas, the Board of Regents (the "Board") of the University of North Texas System (the "System") is an agency of the State of Texas, and

Whereas, the System expects to pay expenditures in connection with the design, planning acquisition and construction of the projects described as being debt financed in the UNTS Capital Improvement Plan for Fiscal Year 2018 (collectively, the "Project") prior to the issuance of obligations by the System in connection with the financing of the Project from available funds, and

Whereas, the System finds, considers, and declares that the reimbursement of the System for the payment of such expenditures will be appropriate and consistent with the lawful objectives of the System and, as such, chooses to declare its intention, in accordance with the provisions of Section 1.150-2 of the Treasury Regulations, to reimburse itself for such payments at such time as it issues obligations to finance the Project.

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

1. The System reasonably expects it will incur debt, as one or more series of obligations, with an aggregate maximum principal amount not to exceed \$350,000,000, for the purpose of paying the aggregate costs of the Project.
 2. All costs to be reimbursed pursuant hereto will be capital expenditures. No tax-exempt obligations will be issued by the System in furtherance of this Statement after a date which is later than 18 months after the later of (1) the date the expenditures are paid or (2) the date on which the property, with respect to which such expenditures were made, is placed in service.
 3. The foregoing notwithstanding, no tax-exempt obligation will be issued pursuant to this Statement more than three years after the date any expenditures which is to be reimbursed is paid.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Twenty-Sixth 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

Background:

The University of North Texas System has many current projects and a significant number of projects starting up. In order to facilitate the cash needs of the projects, the System will need to issue long-term debt from time to time to either prefund certain projects or to refund interim financing. In addition, as market conditions allow, outstanding long-term bonds may be refunded to achieve debt service savings in future years.

Adoption of the attached resolution will delegate authority to the Vice Chancellor for Finance to issue long-term debt within defined parameters, in one or more series, in order to achieve the desired goals stated above. Key parameters in the resolution include \$245 million as the maximum amount of debt and a minimum level of net present value savings for refunding long-term debt of 3%. Delegating the authority provides the Vice Chancellor for Finance the flexibility to move quickly if market circumstances dictate the necessity to do so.

Financial Analysis/History:

Depending on market conditions the System will issue bonds to refund a part or all of the following debt, and new money for approved projects in the Capital Improvement Plan, during the fiscal year 2018.

Debt Type	Tax Exempt/Taxable	Amount (Millions)	Average Rate
Commercial Paper	Both	\$22.8 (up to \$150)	Variable
Series 2009B RFS Bonds	Taxable	\$4.615	4.38%
Series 2010 RFS Bonds	Taxable	\$35.290	5.00%
Series 2012A RFS Bonds	Tax Exempt	\$12.465	5.00%
Series 2012B RFS Bonds	Taxable	\$3.870	3.51%
Series 2015 RFS Bonds	Tax Exempt	\$12.465	1.95%
Series 2015 RFS Bonds	Taxable	\$12.030	1.95%

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 Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

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 Vice Chancellor/General Counsel

Schedule:

Effective upon approval by the Board of Regents.

Recommendation:

It is recommended that the Board of Regents approve the attached Twenty-Sixth Supplemental Resolution.

Recommended By:

James Mauldin

Associate Vice Chancellor for Treasury
and Reporting

Lee
Jackson

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Chancellor

Attachments Filed Electronically:

- Twenty-Sixth Supplemental Resolution



Board Order

Title: Twenty-Sixth 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

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

Whereas, the University of North Texas System wishes to proceed with selling bonds to provide long term financing for projects approved by the Board of Regents of the UNT System, and

Whereas, the University of North Texas System wishes to proceed with selling bonds to refinance outstanding commercial paper notes into long term financing, and

Whereas, the University of North Texas System wishes to consider refinancing all or a portion of the outstanding Series 2009B, 2010 2015, and 2015C Bonds using proceeds from Bonds issued under the Revenue Financing System, and

Whereas, the resolution would authorize the Vice Chancellor for Finance for the University of North Texas System to negotiate (whether by competitive sales, by negotiated sales, or both) the sale of the Bonds for a period ending August 31, 2018 and in an amount not to exceed \$245,000,000, which includes (i) bonds underwriter fees, (ii) capitalized interest, and (iii) other issuance costs, and

Whereas, the resolution would authorize the Vice Chancellor for Finance for the University of North Texas System to sell the Bonds in one or more series, to enable the UNT System to maximize its opportunities to sell the Bonds in the municipal debt markets, and

Whereas the resolution would authorize that the commercial paper plus interest payment and fees would be refunded by the issuance of the bonds and other proceeds.

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

1. The attached Twenty-Sixth 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.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**TWENTY-SIXTH 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**

TWENTY-SIXTH 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

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TWENTY-SIXTH 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

WHEREAS, on February 12, 1999, the Board adopted the "*Amended and Restated Master Resolution Establishing the Revenue Financing System Under the Authority and Responsibility of the Board of Regents of the University of North Texas*" (referred to herein as the "Master Resolution"); and

WHEREAS, the Board heretofore has adopted a "**FIRST SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 1997; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "First Supplement") and pursuant to the First Supplement issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 1997**" in the aggregate principal amount of \$4,380,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**SECOND SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 1999; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Second Supplement"); and

WHEREAS, the Second Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Second Supplement, and pursuant to the terms of the Second Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 1999**" in the aggregate principal amount of \$32,540,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**THIRD SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 1999-A; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Third Supplement"); and

WHEREAS, the Third Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Third Supplement, and pursuant to the terms of the Third Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 1999-A**" in the aggregate principal amount of \$15,535,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**FOURTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2001; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Fourth Supplement"); and

WHEREAS, the Fourth Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Fourth Supplement, and pursuant to the terms of the Fourth Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2001**" in the aggregate principal amount of \$33,860,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**FIFTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Fifth Supplement"); and

WHEREAS, the Fifth Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Fifth Supplement, and pursuant to the terms of the Fifth Supplement the Pricing Committee authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002**" in the aggregate principal amount of \$63,470,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**SIXTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002A; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Sixth Supplement"); and

WHEREAS, the Sixth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Sixth Supplement, and pursuant to the terms of the Sixth Supplement the Vice Chancellor for Finance for the University System authorized the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF**

NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2002A" in the aggregate principal amount of \$9,500,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"SEVENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2003; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Seventh Supplement"); and

WHEREAS, the Seventh Supplement delegated to a designated Pricing Committee the authority to sell bonds under the terms of the Seventh Supplement, and pursuant to the terms of the Seventh Supplement the Pricing Committee authorized the sale, and the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, SERIES 2003"** in the aggregate principal amount of \$31,180,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted an **"EIGHTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2003A; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Eighth Supplement"); and

WHEREAS, the Eighth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Eighth Supplement, and pursuant to the terms of the Eighth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2003A"** in the aggregate principal amount of \$6,185,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"NINTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, TAXABLE SERIES 2003B; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Ninth Supplement"); and

WHEREAS, the Ninth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Ninth Supplement, and pursuant to the terms of the Ninth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF**

NORTH TEXAS REVENUE FINANCING SYSTEM BONDS, TAXABLE SERIES 2003B in the aggregate principal amount of \$4,980,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted an **"AMENDED AND RESTATED TENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION ESTABLISHING THE REVENUE FINANCING SYSTEM COMMERCIAL PAPER PROGRAM, AUTHORIZING THE ISSUANCE OF TAX-EXEMPT AND TAXABLE COMMERCIAL PAPER NOTES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Tenth Supplement") and pursuant to the Tenth Supplement to the Master Resolution had the authority to issue from time to time and at any one time outstanding up to \$100,000,000 in aggregate principal amount of its commercial paper notes as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted an **"ELEVENTH 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 REFUNDING AND IMPROVEMENT BONDS, SERIES 2005; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Eleventh Supplement"); and

WHEREAS, the Eleventh Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Eleventh Supplement, and pursuant to the terms of the Eleventh Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its ***"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2005"*** in the aggregate principal amount of \$76,795,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"TWELFTH 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, SERIES 2006; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"** (defined as the "Twelfth Supplement"); and

WHEREAS, the Twelfth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Twelfth Supplement, and pursuant to the terms of the Twelfth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its ***"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2007"*** in the aggregate principal amount of \$56,050,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a **"THIRTEENTH 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, SERIES 2009; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO" (defined as the "Thirteenth Supplement"); and

WHEREAS, the Thirteenth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Thirteenth Supplement, and pursuant to the terms of the Thirteenth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, SERIES 2009**" in the aggregate principal amount of \$38,650,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Board heretofore has adopted a "**FOURTEENTH 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**" (defined as the "Fourteenth Supplement"); and

WHEREAS, the Fourteenth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Fourteenth Supplement, and pursuant to the terms of the Fourteenth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, SERIES 2009A**" in the aggregate principal amount of \$159,310,000, its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2009B**" in the aggregate principal amount of \$15,800,000, and its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2010**" in the aggregate principal amount of \$57,625,000, as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on August 18, 2011, the Board adopted a "**RESTATED FIFTEENTH 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**", restating the resolution adopted by the Board on August 19, 2010, and which by its terms the authority to issue bonds expired on August 31, 2011 (defined as the "Fifteenth Supplement"); and

WHEREAS, the Fifteenth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Fifteenth Supplement, and pursuant to the terms of the Fifteenth Supplement the Vice Chancellor for Finance for the University System effected the sale, and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY**

OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, SERIES 2012A in the aggregate principal amount of \$75,890,000, and its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, TAXABLE SERIES 2012B"** in the aggregate principal amount of \$4,820,000, as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on August 28, 2015, the Board adopted a **"RESTATED SIXTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION AUTHORIZING THE ISSUANCE, SALE, AND DELIVERY OF BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS, IN ONE OR MORE SERIES; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO"**, restating the resolution adopted by the Board on August 16, 2013, and which by its terms the authority to issue bonds expired on August 29, 2014 (defined as the "Sixteenth Supplement"); and

WHEREAS, the Sixteenth Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Sixteenth Supplement, and pursuant to the terms of the Sixteenth Supplement, the Vice Chancellor for Finance for the University System effected the sale of and the Board issued its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2015A"** in the aggregate principal amount of \$105,130,000, and its **"BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, TAXABLE SERIES 2015B"** in the aggregate principal amount of \$73,035,000, as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on February 20, 2014, the Board adopted a **"SEVENTEENTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION ESTABLISHING THE 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"** (defined as the "Seventeenth Supplement") and pursuant to the Seventeenth Supplement to the Master Resolution has the authority to issue from time to time and at any one time outstanding up to \$100,000,000 in aggregate principal amount of its commercial paper notes as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, the Seventeenth Supplement has not been implemented, and the authority to sell commercial paper notes under the terms of the Seventeenth Supplement has expired; and

WHEREAS, on February 20, 2014, the Board adopted an **"EIGHTEENTH 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"** (the "Eighteenth Supplement"); and

WHEREAS, the Eighteenth Supplement has not been implemented, and the authority to sell bonds under the terms of the Eighteenth Supplement has expired; and

WHEREAS, on May 15, 2014, the Board adopted an "**NINETEENTH 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 DIRECT PURCHASE BONDS, SERIES 2014; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (the "Nineteenth Supplement"); and

WHEREAS, pursuant to the terms of the Nineteenth Supplement, the Board sold its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM DIRECT PURCHASE BONDS, SERIES 2014**" in an aggregate principal of \$120,000,000; and

WHEREAS, on April 9, 2015, the Board adopted a "**TWENTIETH 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 REFUNDING BONDS, SERIES 2015; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Twentieth Supplement"); and

WHEREAS, pursuant to the terms of the Twentieth Supplement, the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2015**" in the aggregate principal amount of \$38,265,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on October 6, 2015, the Board adopted a "**TWENTY-FIRST 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 REFUNDING BONDS, SERIES 2015C; AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO**" (defined as the "Twenty-First Supplement"); and

WHEREAS, pursuant to the terms of the Twenty-First Supplement, the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, SERIES 2015C**" in the aggregate principal amount of \$45,865,000 as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on May 20, 2016, the Board adopted a "**TWENTY-SECOND 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**

REFUNDING BONDS, FORWARD DELIVERY SERIES 2018 AND APPROVING AND AUTHORIZING INSTRUMENTS AND PROCEDURES RELATING THERETO" (defined as the "Twenty-Second Supplement"); and

WHEREAS, pursuant to the terms of the Twenty-Second Supplement, the Board authorized the issuance of its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING BONDS, FORWARD DELIVERY SERIES 2018**" in the aggregate principal amount of \$22,845,000 as Parity Obligations under the terms of the Master Resolution, with a scheduled delivery on March 14, 2018; and

WHEREAS, on August 19, 2016, the Board adopted a "**TWENTY-THIRD 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**" (the "Twenty-Third Supplement"); and

WHEREAS, the Twenty-Third Supplement delegated to the Vice Chancellor for Finance for the University System the authority to sell bonds under the terms of the Sixteenth Supplement, and pursuant to the terms of the Twenty-Third Supplement, the Vice Chancellor for Finance for the University System effected the sale of and the Board issued its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, SERIES 2017A**" in the aggregate principal amount of \$196,165,000, and its "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM REVENUE FINANCING SYSTEM REFUNDING AND IMPROVEMENT BONDS, TAXABLE SERIES 2017B**" in the aggregate principal amount of \$164,305,000, as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, on November 18, 2016, the Board adopted a "**TWENTY-FOURTH SUPPLEMENTAL RESOLUTION TO THE MASTER RESOLUTION ESTABLISHING THE 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**" (defined as the "Twenty-Fourth Supplement") and pursuant to the Twenty-Fourth Supplement has the authority to issue from time to time and at any one time outstanding up to \$75,000,000 in aggregate principal amount of its commercial paper notes as Parity Obligations under the terms of the Master Resolution; and

WHEREAS, by the terms of the Twenty-Fourth Supplement, the Board reduced the authority to issue commercial paper notes under the terms of the Tenth Supplement from \$100,000,000 to \$75,000,000; and

WHEREAS, on November 18, 2016, the Board adopted a "**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" (the "Twenty-Fifth Supplement"); and

WHEREAS, no bonds have been sold pursuant to the terms of the Twenty-Fifth Supplement, and the authority to sell bonds under the terms of the Twenty-Fifth Supplement expires on August 31, 2017; and

WHEREAS, the Parity Obligations issued under the terms of the First Supplement, the Second Supplement, the Third Supplement, the Fourth Supplement, the Fifth Supplement, the Sixth Supplement, the Seventh Supplement, the Eighth Supplement, the Ninth Supplement, the Eleventh Supplement, the Twelfth Supplement and the Nineteenth Supplement are no longer outstanding, and there are no Prior Encumbered Obligations outstanding; and

WHEREAS, unless otherwise defined herein, terms used herein shall have the meaning given in the Master Resolution; and

WHEREAS, the Master Resolution establishes that the Revenue Financing System is to be comprised of the University, UNT-Dallas and the Health Science Center, and pledges the Pledged Revenues to the payment of Parity Obligations to be outstanding under the Master Resolution; and

WHEREAS, the Board has determined to implement the Revenue Financing System in order to establish a system of financing improvements at the University, UNT-Dallas and the Health Science Center in a manner consistent with Chapter 55, Texas Education Code; and

WHEREAS, the Board deems it necessary to authorize the issuance of the bonds hereinafter authorized, pursuant to the terms and conditions of this resolution (this "Twenty-Sixth Supplement"), as Parity Obligations issued pursuant to the Master Resolution, for the purposes hereinafter described; and

WHEREAS, the bonds authorized to be issued by this Twenty-Sixth Supplement (the "Bonds") are to be issued and delivered under authority of applicable provisions of Chapter 55, Texas Education Code, including specifically, but not by way of limitation, Sections 55.13, 55.1755 and 55.1785, Texas Education Code, and Chapters 1207 and 1371, Texas Government Code.

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

Section 1. **DEFINITIONS.** In addition to the definitions set forth in the preamble of this Twenty-Sixth Supplement, the terms used in this Twenty-Sixth Supplement (except in the FORM OF BONDS) and not otherwise defined shall have the meanings given in the Master Resolution or in Exhibit "A" to this Twenty-Sixth Supplement attached hereto and made a part hereof.

Section 2. **AMOUNT, PURPOSE, AND DESIGNATION OF THE BONDS.** (a) *Amount and Designation of Bonds.* The "**BOARD OF REGENTS OF THE UNIVERSITY OF NORTH**

TEXAS SYSTEM REVENUE FINANCING SYSTEM BONDS", are hereby authorized to be issued and delivered, in one or more series, in an aggregate principal amount not to exceed \$245,000,000 **FOR THE PURPOSE OF (i) ACQUIRING, PURCHASING, CONSTRUCTING, IMPROVING, RENOVATING, ENLARGING OR EQUIPPING PROPERTY, BUILDINGS, STRUCTURES, FACILITIES, ROADS, OR RELATED INFRASTRUCTURE FOR PARTICIPANTS IN THE REVENUE FINANCING SYSTEM, (ii) FUNDING, TO THE EXTENT PERMITTED BY APPLICABLE LAW, CAPITALIZED INTEREST ON THE BONDS, (iii) REFUNDING THE REFUNDABLE BONDS, (iv) REFUNDING ANY OUTSTANDING COMMERCIAL PAPER NOTES, AND (v) PAYING THE COSTS OF ISSUANCE RELATED TO THE SALE OF THE BONDS.**

(b) **New Money Authorization.** The Bonds authorized for the purposes described in clauses (i) and (ii) of subsection (a) of this Section are being issued by the Board under authority of Chapter 55, Texas Education Code, particularly Sections 55.13, 55.1755 and 55.1785 thereof, and Chapter 1371, Texas Government Code. The aggregate principal amount of the Bonds hereby authorized by the Board that may be issued, in one or more series, for the purposes described in clauses (i) and (ii) of subsection (a) of this Section may not exceed \$105,000,000. The Vice Chancellor for Finance for the University System shall execute a certificate providing such documentation as may be required by the Public Finance Division of the Office of the Attorney General to (i) describe the specific projects for which the Bonds are being issued, and which specific projects are being financed with the proceeds of the Bonds issued under authority of Section 55.1755 and 55.1785, Texas Education Code, and (ii) evidence the approval, if any, required to be obtained from the Texas Higher Education Coordinating Board for the projects to be financed with the proceeds of the Bonds.

(c) **Refunded Bonds.** The Bonds hereby authorized to be issued, in one or more series, by the Board for the purposes described in clause (iii) of subsection (a) of this Section are being issued under authority of Chapter 1207, Texas Government Code, to refund the Refunded Bonds, which constitutes a public purpose. The refunding of the Refunded Bonds shall be accomplished in a manner that will result in (i) for Refunded Bonds retired, through either scheduled maturity or prior redemption, within ninety (90) days of the delivery of Bonds issued to refund such Refunded Bonds, a positive gross savings being achieved, or (ii) for Refunded Bonds retired, through either scheduled maturity or prior redemption, greater than ninety (90) days of the delivery of Bonds issued to refund such Refunded Bonds, a target net present value savings for the transaction of at least three percent (3.00%) and a positive gross savings being achieved.

(d) **Refunded Commercial Paper Notes.** The Bonds hereby authorized to be issued by the Board for the purposes described in clause (iv) of subsection (a) of this Section are being issued under authority of Chapters 1207 and 1371, Texas Government Code, to refund the Refunded Commercial Paper Notes. The Refunded Commercial Paper Notes are being refunded to convert interim financing into long-term fixed rate financing, as contemplated by the Board in the operation of the interim financing program as provided for in the Tenth Supplement and the Twenty-Fourth Supplement. Therefore, the manner in which the refunding of the Refunded Commercial Paper Notes is being undertaken by the Board does not make it practicable to make the determinations required by subsection (a) of Section 1207.008, Texas Government Code. The Refunded Commercial Paper Notes shall be those outstanding Commercial Paper Notes, not to exceed

\$150,000,000 in principal amount, designated by the Vice Chancellor for Finance for the University System be refunded and retired with a portion of the proceeds of the Bonds. The principal amount of the Refunded Commercial Paper Notes shall be specifically identified in a certificate executed by the Vice Chancellor for Finance for the University System and delivered to (i) the Attorney General of Texas in connection with the submission of proceedings pertaining to approval of Bonds thereby and (ii) the Board.

Section 3. **DATE, DENOMINATIONS, NUMBERS, MATURITIES AND TERMS OF BONDS.** (a) **Terms of Bonds.** Initially there shall be issued, sold, and delivered hereunder fully registered bonds, without interest coupons, in one or more series, payable to the respective initial registered owners thereof, or to the registered assignee or assignees of said bonds or any portion or portions thereof (in each case, the "Registered Owner"), in the denomination of \$5,000 or any integral multiple thereof (an "Authorized Denomination"), maturing not later than April 15, 2057, serially or otherwise on the dates, in the years and in the principal amounts, respectively, and dated, all as shall be determined and established in accordance with this Twenty-Sixth Supplement.

(b) **Sale of Bonds.** (i) **Method of Sale.** As authorized by Chapters 1207 and 1371, Texas Government Code, the Vice Chancellor for Finance for the University System is hereby authorized to determine the method of sale for all or any portion of the Bonds authorized to be sold by this Twenty-Sixth Supplement, whether by competitive sale, or by negotiated sale conducted either through a public underwriting of the Bonds or a private placement of the Bonds, or both. The determination of the Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, relating to the method of and the terms and conditions relating to the sale of Bonds pursuant to this Twenty-Sixth Supplement shall have the same force and effect as if such determination were made by the Board. In effecting the sale of the Bonds authorized to be sold by this Twenty-Sixth Supplement, the Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, may determine any additional or different designation or title by which any series of Bonds shall be known, the aggregate principal amount of Bonds, if any, to be issued to fund the projects to be described by the certificate executed by the Vice Chancellor for Finance for the University System in accordance with Section 2(b) hereof, the aggregate principal amount of Bonds, if any, to be issued to refund the Refunded Bonds as described in Section 2(c) hereof, the aggregate principal amount of Bonds, if any, to be issued to refund Commercial Paper Notes as described in Section 2(d) hereof, the aggregate principal amount of the Bonds, if any, to be issued as obligations, the interest on which is excluded from gross income for purposes of section 103 of the Code, and the aggregate principal amount of the Bonds, if any, issued as obligations that are not intended to be issued as obligations, the interest on which is excluded from gross income for purposes of section 103 of the Code. The sale of the Bonds, including specifically the terms of the purchase price of the Bonds, shall be subject to the limitations set forth in Sections 2(b) and 2(d) hereof, as applicable, and the provisions in subsection (e) of this Section. Prior to the delivery of any Bonds authorized to be sold by this Twenty-Sixth Supplement, the Vice Chancellor for Finance for the University System shall execute a certificate addressing the matters described in this subsection with respect to the Bonds sold under authority granted by this Twenty-Sixth Supplement.

(ii) **Competitive Sale.** The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is hereby authorized to seek competitive bids for the sale of all or any

portion of the Bonds authorized to be sold by this Twenty-Sixth Supplement, and is hereby authorized to prepare and distribute the Bidding Instructions and the Official Bid Form with respect to seeking competitive bids for the sale of the Bonds. The Bidding Instructions shall contain the terms and conditions relating to the sale of such Bonds, including the date bids for the purchase of Bonds are to be received, the date of the Bonds, any additional designation or title by which the Bonds shall be known, the aggregate principal amount of the Bonds to be sold, the price at which the Bonds will be sold, the years in which the Bonds will mature, the principal amount to mature in each of such years, the rate or rates of interest to be borne by each such maturity, the interest payment periods, the dates, price, and terms upon and at which the Bonds shall be subject to redemption prior to maturity at the option of the Issuer, as well as any mandatory sinking fund redemption provisions, and all other matters relating to the issuance, sale and delivery of the Bonds so sold including, without limitation, the use of municipal bond insurance for the Bonds. The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is hereby authorized to receive and accept bids for the sale of Bonds in accordance with the Bidding Instructions on such date as determined thereby. The Bonds so sold shall be sold at such price as the Vice Chancellor for Finance for the University System shall determine to be the most advantageous to the Issuer, which determination shall be evidenced by the execution thereby of the Official Bid Form submitted by the best and winning bidder. One Bond in the principal amount maturing on each maturity date as set forth in the Official Bid Form shall be delivered to the initial purchasers thereof, and such purchasers shall have the right to exchange such bonds as provided in Section 5 hereof without cost. The Bonds shall initially be registered in the name as set forth in the Official Bid Form. In case any officer whose signature shall appear on the Bonds shall cease to be such officer before the delivery of the Bonds, such signature shall nevertheless be valid and sufficient for all purposes the same as if such officer had remained in office until such delivery.

(iii) *Negotiated Sale - Underwriting.* The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is hereby authorized to sell all or any portion of the Bonds authorized to be sold by this Twenty-Sixth Supplement by a negotiated sale conducted as a public underwriting, and should the Vice Chancellor for Finance for the University System determine to sell Bonds by negotiated sale conducted as a public underwriting, the Vice Chancellor for Finance for the University System may designate the senior managing underwriter for the Bonds so sold by a negotiated sale pursuant to this Section 3(b)(iii), and such additional investment banking firms as the Vice Chancellor for Finance for the University System deems appropriate to assure that the Bonds are sold on the most advantageous terms to the University. Should Bonds be sold through a negotiated sale conducted as a public underwriting, the Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is authorized to enter into and carry out a Bond Purchase Agreement with the Underwriters for the Bonds, at such price, with and subject to such terms as determined by the Vice Chancellor for Finance for the University System, subject to the provisions of this Twenty-Sixth Supplement. One Bond in the principal amount maturing on each maturity date as set forth in the Bond Purchase Agreement shall be delivered to the Underwriters, and the Underwriters shall have the right to exchange such Bonds as provided in Section 5 hereof without cost. The Bonds shall initially be registered in the name designated by the Underwriters as set forth in a Bond Purchase Agreement. In case any officer whose signature shall appear on the Bonds shall cease to be such officer before the delivery of the Bonds, such signature

shall nevertheless be valid and sufficient for all purposes the same as if such officer had remained in office until such delivery. The Bond Purchase Agreement shall be substantially in the form and substance previously approved by the Board in connection with the authorization of Parity Debt, as shall be acceptable to the Vice Chancellor for Finance for the University System, including, without limitation, to contain such terms and conditions as may be provided in accordance with subsection (d) of this Section.

(iv) *Negotiated Sale – Private Placement.* The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is hereby authorized to sell all or any portion of the Bonds authorized to be sold by this Twenty-Sixth Supplement by a negotiated sale conducted as a private placement, and should the Vice Chancellor for Finance for the University System determine to sell Bonds by negotiated sale conducted as a private placement, the Vice Chancellor for Finance for the University System may negotiate the sale of Bonds pursuant to this Section 3(b)(iv) with a bank or other financial institutions as the Vice Chancellor for Finance for the University System deems appropriate to assure that the Bonds are sold on the most advantageous terms to the University. Should Bonds be sold through a negotiated sale conducted as a private placement, the Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is authorized to enter into and carry out a Bond Purchase Agreement with the Purchaser of the Bonds, at such price, with and subject to such terms as determined by the Vice Chancellor for Finance for the University System, subject to the provisions of this Twenty-Sixth Supplement. One Bond in the principal amount maturing on each maturity date as set forth in the Bond Purchase Agreement shall be delivered to the Purchaser, and the Purchaser shall have the right to exchange such Bonds as provided in Section 5 hereof without cost. The Bonds shall initially be registered in the name designated by the Purchaser as set forth in a Bond Purchase Agreement. In case any officer whose signature shall appear on the Bonds shall cease to be such officer before the delivery of the Bonds, such signature shall nevertheless be valid and sufficient for all purposes the same as if such officer had remained in office until such delivery. The Bond Purchase Agreement shall be substantially in the form and substance previously approved by the Board in connection with the authorization of Parity Debt, as shall be acceptable to the Vice Chancellor for Finance for the University System, including, without limitation, to contain such terms and conditions as may be provided in accordance with subsection (d) of this Section.

(c) *In General.* The Bonds (i) may and shall be redeemed prior to the respective scheduled maturity dates, (ii) may be assigned and transferred, (iii) may be exchanged for other Bonds, (iv) shall have the characteristics, and (v) shall be signed and sealed, and (vi) the principal of and interest on the Bonds shall be payable, all as provided, and in the manner required or indicated, in the FORM OF BONDS, as revised to conform the Bonds to the terms of the Bond Purchase Agreement, in the case of a negotiated sale, or the Bidding Instructions and Official Bid Form, in the case of a competitive sale. The Bonds of any series shall be numbered consecutively from R-1 upward.

(d) *Bond Purchase Agreement.* Should Bonds be sold by a negotiated sale, the Vice Chancellor for Finance for the University System is hereby authorized, appointed, and designated to act on behalf of the Board in the selling and delivering the Bonds and carrying out the other

procedures specified in this Twenty-Sixth Supplement, including determining and fixing the date of the Bonds, any additional or different designation or title by which the Bonds shall be known, the aggregate principal amount of the Bonds to be sold, the price at which the Bonds will be sold, the years in which the Bonds will mature, the principal amount to mature in each of such years, the rate or rates of interest to be borne by each such maturity, the interest payment periods, the dates, price, and terms upon and at which the Bonds shall be subject to redemption prior to maturity at the option of the Issuer, as well as any mandatory sinking fund redemption provisions, and all other matters relating to the issuance, sale, and delivery of the Bonds, including, without limitation, the use of municipal bond insurance for the Bonds, all of which shall be specified in the Bond Purchase Agreement. The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, is authorized to enter into with the Underwriters and carry out the conditions specified in a Bond Purchase Agreement for the Bonds, at such price and subject to such terms as are set forth therein.

(e) **Parameters to Sale of Bonds.** The foregoing provisions of this Section notwithstanding, the purchase price to be paid for the Bonds sold pursuant to this Twenty-Sixth Supplement shall not be less than 95% of the aggregate principal amount thereof, and the Bonds shall not bear a "net effective interest rate" (as defined in and calculated in accordance with the provisions of Chapter 1204, Texas Government Code) of greater than 10%. The Bonds shall not be delivered unless prior to the execution by the Vice Chancellor for Finance for the University System of the Bond Purchase Agreement or the Official Bid Form, as the case may be, the approval of the issuance of the Bonds by the Texas Bond Review Board has been received in the manner prescribed by law. In addition, if Bonds are sold for the purposes set forth in Section 2(b) of this Twenty-Sixth Supplement, prior to their sale, such Bonds shall have been rated by a nationally recognized rating agency for municipal securities in one of the four highest rating categories for long term obligations, to the extent required by law. The authority hereby granted by the Board to the Vice Chancellor for Finance for the University System to effect the sale of all or any portion of the Bonds authorized to be sold by this Twenty-Sixth Supplement expires at 5:00 p.m., Friday, August 31, 2018.

Section 4. **INTEREST.** The Bonds shall bear interest from the dates specified in the FORM OF BONDS and in the Bond Purchase Agreement or the Official Bid Form, as the case may be, to their respective dates of maturity, at the rates, and shall be calculated on the basis and in the manner, set forth in the executed Bond Purchase Agreement, in the case of a negotiated sale, or in the Official Bid Form submitted by the highest and best bidder and accepted by the Vice Chancellor for Finance for the University System, in the case of a competitive sale.

Section 5. **REGISTRATION, TRANSFER, AND EXCHANGE; AUTHENTICATION; BOOK-ENTRY ONLY SYSTEM.** (a) **Paying Agent/Registrar.** A Board Representative is hereby authorized to appoint the Paying Agent/Registrar for each series of the Bonds sold pursuant to the terms of this Twenty-Sixth Supplement. The Vice Chancellor for Finance for the University System is authorized to enter into and carry out a Paying Agent/Registrar Agreement with the Paying Agent/Registrar with respect to the Bonds in substantially the standard form previously approved by the Board.

(b) **Registration Books.** The Issuer shall keep or cause to be kept at the corporate trust office of the Paying Agent/Registrar so designated in the Paying Agent/Registrar Agreement (the "Designated Trust Office") books or records for the registration of the transfer, exchange, and replacement of the Bonds (the "Registration Books"), and the Issuer hereby appoints the Paying Agent/Registrar as its registrar and transfer agent to keep such books or records and make such registrations of transfers, exchanges, and replacements under such reasonable regulations as the Issuer and Paying Agent/Registrar may prescribe; and the Paying Agent/Registrar shall make such registrations, transfers, exchanges, and replacements as herein provided. The Paying Agent/Registrar shall obtain and record in the Registration Books the address of the registered owner of each Bond to which payments with respect to the Bonds shall be mailed, as herein provided; but it shall be the duty of each registered owner to notify the Paying Agent/Registrar in writing of the address to which payments shall be mailed, and such interest payments shall not be mailed unless such notice has been given. The Issuer shall have the right to inspect the Registration Books at the Designated Trust Office of the Paying Agent/Registrar during regular business hours, but otherwise the Paying Agent/Registrar shall keep the Registration Books confidential and, unless otherwise required by law, shall not permit their inspection by any other entity.

(c) **Ownership of Bonds.** The entity in whose name any Bond shall be registered in the Registration Books at any time shall be deemed and treated as the absolute owner thereof for all purposes of this Twenty-Sixth Supplement, whether or not such Bond shall be overdue, and, to the extent permitted by law, the Issuer and the Paying Agent/Registrar shall not be affected by any notice to the contrary; and payment of, or on account of, the principal of, premium, if any, and interest on any such Bond shall be made only to such registered owner. All such payments shall be valid and effectual to satisfy and discharge the liability upon such Bond to the extent of the sum or sums so paid.

(d) **Payment of Bonds and Interest.** The Paying Agent/Registrar shall further act as the paying agent for paying the principal of, premium, if any, and interest on the Bonds, all as provided in this Twenty-Sixth Supplement. The Paying Agent/Registrar shall keep proper records of all payments made by the Issuer and the Paying Agent/Registrar with respect to the Bonds.

(e) **Authentication.** The Bonds initially issued and delivered pursuant to this Twenty-Sixth Supplement shall be authenticated by the Paying Agent/Registrar by execution of the Paying Agent/Registrar's Authentication Certificate, in the form set forth in the FORM OF BONDS (the "Authentication Certificate") unless they have been approved by the Attorney General of the State of Texas and registered by the Comptroller of Public Accounts of the State of Texas, and on each substitute Bond issued in exchange for any Bond or Bonds issued under this Twenty-Sixth Supplement the Paying Agent/Registrar shall execute the Authentication Certificate.

(f) **Transfer, Exchange, or Replacement.** Each Bond issued and delivered pursuant to this Twenty-Sixth Supplement, to the extent of the unpaid or unredeemed principal amount thereof, may, at the option of the registered owner or such assignee or assignees, as appropriate, upon surrender of

such Bond at the Designated Trust Office of the Paying Agent/Registrar, together with a written request therefor duly executed by the registered owner or the assignee or assignees thereof, or its or their duly authorized attorneys or representatives, with guarantee of signatures satisfactory to the Paying Agent/Registrar, be exchanged for fully registered bonds, without interest coupons, in the appropriate form prescribed in the FORM OF BONDS, in any Authorized Denomination (subject to the requirement hereinafter stated that each substitute Bond shall be of the same series and have a single stated maturity date), as requested in writing by such registered owner or such assignee or assignees, in an aggregate principal amount equal to the unpaid or unredeemed principal amount of any Bond or Bonds so surrendered, and payable to the appropriate registered owner, assignee, or assignees, as the case may be. If a portion of any Bond shall be redeemed prior to its scheduled maturity as provided herein, a substitute Bond or Bonds having the same series designation and maturity date, bearing interest at the same rate, and payable in the same manner, in Authorized Denominations at the request of the registered owner, and in the aggregate principal amount equal to the unredeemed portion thereof, will be issued to the registered owner upon surrender thereof for cancellation. If any Bond or portion thereof is assigned and transferred, each Bond issued in exchange therefor shall have the same series designation and maturity date and bear interest at the same rate and payable in the same manner as the Bond for which it is being exchanged. Each substitute Bond shall bear a letter and/or number to distinguish it from each other Bond. The Paying Agent/Registrar shall exchange or replace Bonds as provided herein, and each fully registered Bond delivered in exchange for or replacement of any Bond or portion thereof as permitted or required by any provision of this Twenty-Sixth Supplement shall constitute one of the Bonds for all purposes of this Twenty-Sixth Supplement, and may again be exchanged or replaced. The Authentication Certificate shall be printed on each substitute Bond issued in exchange for or replacement of any Bond or Bonds issued under this Twenty-Sixth Supplement. An authorized representative of the Paying Agent/Registrar shall, before the delivery of any such Bond, date and manually sign the Authentication Certificate, and, except as provided in (e) above, no such Bond shall be deemed to be issued or outstanding unless the Authentication Certificate is so executed. The Paying Agent/Registrar promptly shall cancel all Bonds surrendered for transfer, exchange, or replacement. No additional orders or resolutions need be passed or adopted by the Issuer or any other body or person so as to accomplish the foregoing transfer, exchange, or replacement of any Bond or portion thereof, and the Paying Agent/Registrar shall provide for the printing, execution, and delivery of the substitute Bonds in the manner prescribed herein, and said Bonds shall be in typed or printed form as determined by the Vice Chancellor for Finance for the University System. Pursuant to Chapter 1206, Texas Government Code, the duty of transfer, exchange, or replacement of Bonds as aforesaid is hereby imposed upon the Paying Agent/Registrar, and, upon the execution of the Authentication Certificate, the exchanged or replaced Bond shall be valid, incontestable, and enforceable in the same manner and with the same effect as the Bonds which were originally issued pursuant to this Twenty-Sixth Supplement. The Issuer shall pay the Paying Agent/Registrar's standard or customary fees and charges, if any, for transferring, and exchanging any Bond or any portion thereof, but the one requesting any such transfer and exchange shall pay any taxes or governmental charges required to be paid with respect thereto as a condition precedent to the exercise of such privilege. The Paying Agent/Registrar shall not be required to make any such transfer, exchange, or replacement of Bonds or any portion thereof (i) during the period commencing with the close of business on any Record

Date and ending with the opening of business on the next following interest payment date, or (ii) with respect to any Bond or portion thereof called for redemption prior to maturity, within 45 days prior to its redemption date. To the extent possible, any new Bond issued in an exchange, replacement, or transfer of a Bond will be delivered to the registered owner or assignee of the registered owner not more than three business days after the receipt of the Bonds to be cancelled and the written request as described above.

(g) ***Substitute Paying Agent/Registrar.*** The Issuer covenants with the registered owners of the Bonds that at all times while the Bonds are outstanding the Issuer will provide a competent and legally qualified bank, trust company, financial institution, or other agency to act as and perform the services of Paying Agent/Registrar for the Bonds under this Twenty-Sixth Supplement, and that the Paying Agent/Registrar will be one entity. The Issuer reserves the right to, and may, at its option, change the Paying Agent/Registrar upon not less than 120 days written notice to the Paying Agent/Registrar, to be effective not later than 60 days prior to the next principal or interest payment date after such notice. In the event that the entity at any time acting as Paying Agent/Registrar (or its successor by merger, acquisition, or other method) should resign or otherwise cease to act as such, the Issuer covenants that promptly it will appoint a competent and legally qualified bank, trust company, financial institution, or other agency to act as Paying Agent/Registrar under this Twenty-Sixth Supplement. Upon any change in the Paying Agent/Registrar, the previous Paying Agent/Registrar promptly shall transfer and deliver the Registration Books (or a copy thereof), along with all other pertinent books and records relating to the Bonds, to the new Paying Agent/Registrar designated and appointed by the Issuer. Upon any change in the Paying Agent/Registrar, the Issuer promptly will cause a written notice thereof to be sent by the new Paying Agent/Registrar to each registered owner of the Bonds, by United States mail, first-class postage prepaid, which notice also shall give the address of the new Paying Agent/Registrar. By accepting the position and performing as such, each Paying Agent/Registrar shall be deemed to have agreed to the provisions of this Twenty-Sixth Supplement, and a certified copy of this Twenty-Sixth Supplement shall be delivered to each Paying Agent/Registrar.

(h) ***Book-Entry Only System.*** The Bonds sold to the Purchaser in a private placement may be subject to being held in a book-entry only system to the extent so provided in the applicable Bond Purchase Agreement.

The Bonds issued in exchange for the Bonds initially issued and delivered to the initial purchasers thereof in a competitive sale or to the Underwriters in a negotiated sale conducted as a public underwriting shall be issued in the form of a separate single fully registered Bond for each of the maturities thereof registered in the name of Cede & Co., as nominee of DTC, and except as provided in subsection (i) hereof, all of the Outstanding Bonds shall be registered in the name of Cede & Co., as nominee of DTC.

With respect to Bonds registered in the name of Cede & Co., as nominee of DTC, the Board and the Paying Agent/Registrar shall have no responsibility or obligation to any DTC Participant or to any person on behalf of whom such a DTC Participant holds an interest on the Bonds. Without

limiting the immediately preceding sentence, the Board and the Paying Agent/Registrar shall have no responsibility or obligation with respect to (i) the accuracy of the records of DTC, Cede & Co. or any DTC Participant with respect to any ownership interest in the Bonds, (ii) the delivery to any DTC Participant or any other person, other than a Bondholder, as shown on the Registration Books, of any notice with respect to the Bonds, including any notice of redemption, or (iii) the payment to any DTC Participant or any other person, other than a Bondholder, as shown in the Registration Books of any amount with respect to principal of, premium, if any, or interest on the Bonds. Notwithstanding any other provision of this Twenty-Sixth Supplement to the contrary but to the extent permitted by law, the Board and the Paying Agent/Registrar shall be entitled to treat and consider the person in whose name each Bond is registered in the Registration Books as the absolute owner of such Bond for the purpose of payment of principal, premium, if any, and interest, with respect to such Bond, for the purpose of giving notices of redemption and other matters with respect to such Bond, for the purpose of registering transfers with respect to such Bond, and for all other purposes whatsoever. The Paying Agent/Registrar shall pay all principal of, premium, if any, and interest on the Bonds only to or upon the order of the respective owners, as shown in the Registration Books as provided in this Twenty-Sixth Supplement, or their respective attorneys duly authorized in writing, and all such payments shall be valid and effective to fully satisfy and discharge the Board's obligations with respect to payment of principal of, premium, if any, and interest on the Bonds to the extent of the sum or sums so paid. No person other than an owner, as shown in the Registration Books, shall receive a Bond certificate evidencing the obligation of the Board to make payments of principal, premium, if any, and interest pursuant to this Twenty-Sixth Supplement. Upon delivery by DTC to the Paying Agent/Registrar of written notice to the effect that DTC has determined to substitute a new nominee in place of Cede & Co., and subject to the provisions in this Twenty-Sixth Supplement with respect to interest checks being mailed to the registered owner at the close of business on the Record Date, the word "Cede & Co." in this Twenty-Sixth Supplement shall refer to such new nominee of DTC.

(i) ***Successor Securities Depository; Transfers outside Book-Entry Only System.*** In the event that the Board or the Paying Agent/Registrar determines that DTC is incapable of discharging its responsibilities described herein and in the representation letter (as referred to in Section 23 of this Twenty-Sixth Supplement) of the Board to DTC or DTC determines to discontinue providing its services with respect to the Bonds, the Board shall (i) appoint a successor securities depository, qualified to act as such under Section 17(a) of the Securities and Exchange Act of 1934, as amended, notify DTC and DTC Participants of the appointment of such successor securities depository and transfer one or more separate Bonds to such successor securities depository or (ii) notify DTC and DTC Participants of the availability through DTC of Bonds and transfer one or more separate Bonds to DTC Participants having Bonds credited to their DTC accounts. In such event, the Bonds shall no longer be restricted to being registered in the Registration Books in the name of Cede & Co., as nominee of DTC, but may be registered in the name of the successor securities depository, or its nominee, or in whatever name or names Bondholders transferring or exchanging Bonds shall designate, in accordance with the provisions of this Twenty-Sixth Supplement.

(j) ***Payments to Cede & Co.*** Notwithstanding any other provision of this Twenty-Sixth Supplement to the contrary, so long as any Bond is registered in the name of Cede & Co., as nominee of DTC, all payments with respect to principal of, premium, if any, and interest on such Bond and all

notices with respect to such Bond shall be made and given, respectively, in the manner provided in the representation letter of the Board to DTC.

(k) *Notice of Redemption.* In addition to the method of providing a notice of redemption set forth in the FORM OF BONDS, the Paying Agent/Registrar shall give notice of redemption of Bonds by United States mail, first-class postage prepaid, at least thirty (30) days prior to a redemption date to each registered securities depository and to any national information service that disseminates redemption notices. In addition, in the event of a redemption caused by an advance refunding of the Bonds, the Paying Agent/Registrar shall send a second notice of redemption to the persons specified in the immediately preceding sentence at least thirty (30) days but not more than ninety (90) days prior to the actual redemption date. Any notice sent to the registered securities depositories or such national information services shall be sent so that they are received at least two (2) days prior to the general mailing or publication date of such notice. The Paying Agent/Registrar shall also send a notice of prepayment or redemption to the registered owner of any Bond who has not sent the Bonds in for redemption sixty (60) days after the redemption date.

Each notice of redemption, whether required in the FORM OF BONDS or in this Section, shall contain a description of the Bonds to be redeemed including the complete name of the Bonds, the Series, the date of issue, the interest rate, the maturity date, the CUSIP number, the amounts called of each maturity of the Bonds, the publication and mailing date for the notice, the date of redemption, the redemption price, the name of the Paying Agent/Registrar and the address at which the Bonds may be redeemed, including a contact person and telephone number.

All redemption payments made by the Paying Agent/Registrar to the registered owners of the Bonds shall include a CUSIP number relating to each amount paid to such registered owner.

With respect to any optional redemption of the Bonds, unless certain prerequisites to such optional redemption required by this Twenty-Sixth Supplement have been met and money sufficient to pay the principal of, premium, if any, and interest on the Bonds to be redeemed will have been received by the Paying Agent/Registrar prior to giving such notice, such notice may state that the optional redemption will, at the option of the Board, be conditional upon the satisfaction of such prerequisites and receipt of such money by the Paying Agent/Registrar on or prior to the dated fixed for such redemption or upon any prerequisite set forth in the notice of redemption. If a conditional notice of redemption is given and such prerequisites to the redemption are not satisfied, such notice will be of no force and effect, the Board will not redeem such Bonds and the Paying Agent/Registrar will give notice in the manner in which the notice of redemption was given, to the effect that such Bonds will not be redeemed.

Section 6. **FORM OF BONDS.** The form of the Bonds, including the form of the Authentication Certificate, the form of Assignment and the form of Registration Certificate of the Comptroller of Public Accounts of the State of Texas, with respect to the Bonds initially issued and delivered to the initial purchasers thereof pursuant to this Twenty-Sixth Supplement, shall be, respectively, substantially as set forth in Exhibit B, with such appropriate variations, omissions, or insertions as are permitted or required by this Twenty-Sixth Supplement or the Official Bid Form, in the case of a competitive sale, or a Bond Purchase Agreement, in the case of a negotiated sale.

Section 7. **ESTABLISHMENT OF FINANCING SYSTEM AND ISSUANCE OF PARITY OBLIGATIONS.** By adoption of the Master Resolution the Board has established the Revenue Financing System for the purpose of providing a financing structure for revenue supported indebtedness of the University, UNT-Dallas and the Health Science Center. The Master Resolution is intended to establish a master plan under which revenue supported debt of the Financing System can be incurred. This Twenty-Sixth Supplement provides for the authorization, issuance, sale, delivery, form, characteristics, provisions of payment and redemption, and security of the Bonds. The Master Resolution is incorporated herein by reference and as such made a part hereof for all purposes, except to the extent modified and supplemented hereby, and the Bonds are hereby declared to be Parity Obligations under the Master Resolution. As required by Section 5(a) of the Master Resolution, the Board hereby determines, in connection with the issuance of the Bonds, that (i) it will have sufficient funds to meet the financial obligations of each Participant in the Financing System (currently the University, UNT-Dallas and the Health Sciences Center), including sufficient Pledged Revenues to satisfy the Annual Debt Service Requirements of the Financing System, and to meet all financial obligations of the Board relating to the Financing System and (ii) the University, UNT-Dallas and the Health Sciences Center each possess the financial capability to satisfy its respective Direct Obligation (as defined in the Master Resolution) after taking into account the debt service on the Bonds.

Section 8. **SECURITY.** The Bonds are special obligations of the Board payable from and secured solely by the Pledged Revenues pursuant to the Master Resolution and this Twenty-Sixth Supplement. The Pledged Revenues are hereby pledged, subject to the liens securing the Prior Encumbered Obligations, to the payment of the principal of, premium, if any, and interest on the Bonds as the same shall become due and payable. The Board agrees to pay the principal of, premium, if any, and the interest on the Bonds when due, whether by reason of maturity or redemption. Chapter 1208, Texas Government Code, applies to the issuance of the Bonds and the pledge of the Pledged Revenues granted by the Board under this Section 8, and such pledge is therefore valid, effective, and perfected. If Texas law is amended at any time while the Bonds are outstanding and unpaid such that the pledge of the Pledged Revenues granted by the Board under this Section 8 is to be subject to the filing requirements of Chapter 9, Texas Business & Commerce Code, then in order to preserve to the registered owners of the Bonds the perfection of the security interest in said pledge, the Board agrees to take such measures as it determines are reasonable and necessary under Texas law to comply with the applicable provisions of Chapter 9, Texas Business & Commerce Code and enable a filing to perfect the security interest in said pledge to occur.

Section 9. **PAYMENTS.** On or before each principal or interest payment date while any Bond is outstanding and unpaid, commencing on the first interest payment date for the Bonds as provided therein, the Board shall make available to the Paying Agent/Registrar money sufficient to pay such interest on and such principal of the Bonds as will accrue or mature, or be subject to mandatory redemption prior to maturity, on such principal, redemption, or interest payment date. The Paying Agent/Registrar shall cancel all paid Bonds and shall furnish the Board with an appropriate certificate of cancellation.

Section 10. **DAMAGED, MUTILATED, LOST, STOLEN, OR DESTROYED BONDS.**

(a) **Replacement Bonds.** In the event any outstanding Bond is damaged, mutilated, lost, stolen, or destroyed, the Paying Agent/Registrar shall cause to be printed, executed, and delivered a new Bond of the same series, principal amount, maturity, and interest rate, and in the same form, as the damaged, mutilated, lost, stolen, or destroyed Bond, in replacement for such Bond in the manner hereinafter provided.

(b) **Application for Replacement Bonds.** Application for replacement of damaged, mutilated, lost, stolen, or destroyed Bonds shall be made to the Paying Agent/Registrar. In every case of loss, theft, or destruction of a Bond, the applicant for a replacement Bond shall furnish to the Issuer and to the Paying Agent/Registrar such security or indemnity as may be required by them to save each of them harmless from any loss or damage with respect thereto. Also, in every case of loss, theft, or destruction of a Bond, the applicant shall furnish to the Issuer and to the Paying Agent/Registrar evidence to their satisfaction of the loss, theft, or destruction of such Bond, as the case may be. In every case of damage or mutilation of a Bond, the applicant shall surrender to the Paying Agent/Registrar for cancellation the Bond so damaged or mutilated.

(c) **Payment in Lieu of Replacement.** Notwithstanding the foregoing provisions of this Section, in the event any such Bond shall have matured, and no default has occurred which is then continuing in the payment of the principal of, redemption premium, if any, or interest on the Bond, the Issuer may authorize the payment of the same (without surrender thereof except in the case of a damaged or mutilated Bond) instead of issuing a replacement Bond, provided security or indemnity is furnished as above provided in this Section.

(d) **Charge for Issuing Replacement Bonds.** Prior to the issuance of any replacement Bond, the Paying Agent/Registrar shall charge the owner of such Bond with all legal, printing, and other expenses in connection therewith. Every replacement bond issued pursuant to the provisions of this Section by virtue of the fact that any Bond is lost, stolen, or destroyed shall constitute a contractual obligation of the Issuer whether the lost, stolen, or destroyed Bond shall be found at any time, or be enforceable by anyone, and shall be entitled to all the benefits of this Twenty-Sixth Supplement equally and proportionately with any and all other Bonds duly issued under this Twenty-Sixth Supplement.

(e) **Authority for Issuing Replacement Bonds.** In accordance with Chapter 1206, Texas Government Code, this Section shall constitute authority for the issuance of any such replacement Bond without the necessity of further action by the Issuer or any other body or person, and the duty of the replacement of such Bonds is hereby authorized and imposed upon the Paying Agent/Registrar, and the Paying Agent/Registrar shall authenticate and deliver such Bonds in the form and manner and with the effect, as provided in Section 5(f) of this Twenty-Sixth Supplement for Bonds issued in exchange and replacement for other Bonds.

Section 11. **AMENDMENT OF SUPPLEMENT.** (a) **Amendments without Consent.** This Twenty-Sixth Supplement and the rights and obligations of the Board and of the owners of the Bonds may be modified or amended at any time without notice to or the consent of any owner of the Bonds or any other Parity Obligations, solely for any one or more of the following purposes:

(i) To add to the covenants and agreements of the Board contained in this Twenty-Sixth Supplement, other covenants and agreements thereafter to be observed, or to surrender any right or power reserved to or conferred upon the Board in this Twenty-Sixth Supplement;

(ii) To cure any ambiguity or inconsistency, or to cure or correct any defective provisions contained in this Twenty-Sixth Supplement, upon receipt by the Board of an opinion of Bond Counsel, that the same is needed for such purpose, and will more clearly express the intent of this Twenty-Sixth Supplement;

(iii) To supplement the security for the Bonds, replace or provide additional credit facilities, or change the form of the Bonds or make such other changes in the provisions hereof as the Board may deem necessary or desirable and which shall not, in the judgment of the Board, materially adversely affect the interests of the owners of the Outstanding Bonds;

(iv) To make any changes or amendments requested by any bond rating agency then rating or requested to rate Parity Obligations, as a condition to the issuance or maintenance of a rating, which changes or amendments do not, in the judgment of the Board, materially adversely affect the interests of the owners of the Outstanding Parity Obligations;

(v) To make such changes, modifications or amendments as are permitted by Section 19(c)(vi) of this Twenty-Sixth Supplement;

(vi) To make such changes, modifications or amendments as may be necessary or desirable, which shall not adversely affect the interests of the owners of the Outstanding Parity Obligations, in order, to the extent permitted by law, to facilitate the economic and practical utilization of Credit Agreements with respect to the Parity Obligations; or

(vii) To make such other changes in the provisions hereof as the Board may deem necessary or desirable and which shall not, in the judgment of the Board, materially adversely affect the interests of the owners of Outstanding Parity Obligations.

Notice of any such amendment may be published by the Board in the manner described in subsection (c) of this Section; provided, however, that the publication of such notice shall not constitute a condition precedent to the adoption of such amendatory resolution and the failure to publish such notice shall not adversely affect the implementation of such amendment as adopted pursuant to such amendatory resolution.

(b) ***Amendments with Consent.*** Subject to the other provisions of this Twenty-Sixth Supplement, the owners of Outstanding Bonds aggregating a majority in Outstanding Principal Amount shall have the right from time to time to approve any amendment, other than amendments described in subsection (a) of this Section, to this Twenty-Sixth Supplement which may be deemed necessary or desirable by the Board; provided, however, that nothing herein contained shall permit or be construed to permit, without the approval of the owners of all of the Outstanding Bonds, the amendment of the terms and conditions in this Twenty-Sixth Supplement or in the Bonds so as to:

- (1) Make any change in the maturity of the Outstanding Bonds;
- (2) Reduce the rate of interest borne by Outstanding Bonds;
- (3) Reduce the amount of the principal payable on Outstanding Bonds;
- (4) Modify the terms of payment of principal of or interest on the Outstanding Bonds, or impose any conditions with respect to such payment;
- (5) Affect the rights of the owners of less than all Bonds then Outstanding; or
- (6) Change the minimum percentage of the Outstanding Principal Amount of Bonds necessary for consent to such amendment.

(c) **Notice.** If at any time the Board shall desire to amend this Twenty-Sixth Supplement other than pursuant to subsection (a) of this Section, the Board shall cause notice of the proposed amendment to be published in a financial newspaper or journal of general circulation in The City of New York, New York once during each calendar week for at least two successive calendar weeks. Such notice shall briefly set forth the nature of the proposed amendment and shall state that a copy thereof is on file at the principal office of the Registrar for inspection by all owners of Bonds. Such publication is not required, however, if the Board gives or causes to be given such notice in writing to each owner of Bonds.

(d) **Receipt of Consents.** Whenever at any time not less than thirty days, and within one year, from the date of the first publication of said notice or other service of written notice of the proposed amendment the Board shall receive an instrument or instruments executed by all of the owners or the owners of at least a majority in Outstanding Principal Amount of Bonds, as appropriate, which instrument or instruments shall refer to the proposed amendment described in said notice and which specifically consent to and approve such amendment in substantially the form of the copy thereof on file as aforesaid, the Board may adopt the amendatory resolution in substantially the same form.

(e) **Effect of Amendments.** Upon the adoption by the Board of any resolution to amend this Twenty-Sixth Supplement pursuant to the provisions of this Section, this Twenty-Sixth Supplement shall be deemed to be amended in accordance with the amendatory resolution, and the respective rights, duties, and obligations of the Board and all the owners of then Outstanding Bonds and all future Bonds shall thereafter be determined, exercised, and enforced under the Master Resolution and this Twenty-Sixth Supplement, as amended.

(f) **Consent Irrevocable.** Any consent given by any owner of Bonds pursuant to the provisions of this Section shall be irrevocable for a period of six months from the date of the first publication or other service of the notice provided for in this Section, and shall be conclusive and binding upon all future owners of the same Bonds during such period. Such consent may be revoked at any time after six months from the date of the first publication of such notice by the owner who gave such consent, or by a successor in title, by filing notice thereof with the Paying Agent/Registrar

and the Board, but such revocation shall not be effective if the owners of a majority in Outstanding Principal Amount of Bonds, prior to the attempted revocation, consented to and approved the amendment.

(g) **Ownership.** For the purpose of this Section, the ownership and other matters relating to all Bonds registered as to ownership shall be determined from the registration books kept by the Paying Agent/Registrar therefor. The Paying Agent/Registrar may conclusively assume that such ownership continues until written notice to the contrary is served upon the Paying Agent/Registrar.

Section 12. **TAX-EXEMPTION.** The Vice Chancellor for Finance of the University System, acting for and on behalf of the Board, shall designate those Bonds authorized to be sold pursuant to the terms of this Twenty-Sixth Supplement that the Issuer does intend to issue the Bonds in a manner such that the Bonds would constitute obligations described in section 103 of the Code.

(a) **General Covenants.** With respect to such Bonds so designated by the Vice Chancellor for Finance of the University System, the Issuer covenants to refrain from any action which would adversely affect, or to take any action to assure, the treatment of the Bonds as obligations described in section 103 of the Code, the interest on which is not includable in the "gross income" of the holder for purposes of federal income taxation. In furtherance thereof, the Issuer covenants as follows:

(a) to take any action to assure that no more than 10 percent of the proceeds of such Bonds or the projects financed or refinanced therewith (less amounts deposited to a reserve fund, if any) are used for any "private business use", as defined in section 141(b)(6) of the Code or, if more than 10 percent of the proceeds are so used, that amounts, whether or not received by the Issuer, with respect to such private business use, do not, under the terms of this Twenty-Sixth Supplement or any underlying arrangement, directly or indirectly, secure or provide for the payment of more than 10 percent of the debt service on such Bonds, in contravention of section 141(b)(2) of the Code;

(b) to take any action to assure that in the event that the "private business use" described in subsection (a) hereof exceeds 5 percent of the proceeds of such Bonds or the projects financed or refinanced therewith (less amounts deposited into a reserve fund, if any) then the amount in excess of 5 percent is used for a "private business use" which is "related" and not "disproportionate", within the meaning of section 141(b)(3) of the Code, to the governmental use;

(c) to take any action to assure that no amount which is greater than the lesser of \$5,000,000, or 5 percent of the proceeds of such Bonds (less amounts deposited into a reserve fund, if any), is directly or indirectly used to finance loans to persons, other than state or local governmental units, in contravention of section 141(c) of the Code;

(d) to refrain from taking any action which would otherwise result in such Bonds being treated as "private activity bonds" within the meaning of section 141(a) of the Code;

(e) to refrain from taking any action that would result in such Bonds being "federally guaranteed" within the meaning of section 149(b) of the Code;

(f) to refrain from using any portion of the proceeds of such Bonds, directly or indirectly, to acquire or to replace funds which were used, directly or indirectly, to acquire investment property (as defined in section 148(b)(2) of the Code) which produces a materially higher yield over the term of such Bonds, other than investment property acquired with B

(1) proceeds of such Bonds invested for a reasonable temporary period until such proceeds are needed for the purpose for which such Bonds are issued,

(2) amounts invested in a bona fide debt service fund, within the meaning of section 1.148-1(b) of the Treasury Regulations, and

(3) amounts deposited in any reasonably required reserve or replacement fund to the extent such amounts do not exceed 10 percent of the proceeds of such Bonds;

(g) to otherwise restrict the use of the proceeds of such Bonds or amounts treated as proceeds of the Bonds, as may be necessary, so that such Bonds do not otherwise contravene the requirements of section 148 of the Code (relating to arbitrage) and, to the extent applicable, section 149(d) of the Code (relating to advance refundings); and

(h) to pay to the United States of America at least once during each five-year period (beginning on the date of delivery of such Bonds) an amount that is at least equal to 90 percent of the "Excess Earnings", within the meaning of section 148(f) of the Code and to pay to the United States of America, not later than 60 days after such Bonds have been paid in full, 100 percent of the amount then required to be paid as a result of Excess Earnings under section 148(f) of the Code.

The Issuer understands that the term "proceeds" includes "disposition proceeds" as defined in the Treasury Regulations and, in the case of a refunding bond, transferred proceeds (if any) and proceeds of the refunded bonds expended prior to the date of the issuance of such Bonds. It is the understanding of the Issuer that the covenants contained herein are intended to assure compliance with the Code and any regulations or rulings promulgated by the U.S. Department of the Treasury pursuant thereto. In the event that regulations or rulings are hereafter promulgated which modify or expand provisions of the Code, as applicable to such Bonds, the Issuer will not be required to comply with any covenant contained herein to the extent that such failure to comply, in the opinion of nationally-recognized bond counsel, will not adversely affect the exemption from federal income taxation of interest on such Bonds under section 103 of the Code. In the event that regulations or rulings are hereafter promulgated which impose additional requirements which are applicable to such Bonds, the Issuer agrees to comply with the additional requirements to the extent necessary, in the opinion of nationally-recognized bond counsel, to preserve the exemption from federal income taxation of interest on such Bonds under section 103 of the Code. In furtherance of the foregoing, the Chair of the Board, the Chancellor of the University, and the Board Representative each may execute any certificates or other reports required by the Code and to make such elections, on behalf of the Issuer, which may be permitted by the Code as are consistent with the purpose for the issuance

of such Bonds. In order to facilitate compliance with the above clause (h), a "Rebate Fund" is hereby established by the Issuer for the sole benefit of the United States of America, and the Rebate Fund shall not be subject to the claim of any other person, including without limitation the registered owners of such Bonds. The Rebate Fund is established for the additional purpose of compliance with section 148 of the Code.

(b) ***Allocation of, and Limitation on, Expenditures for the Project.*** The Board covenants to account for on its books and records the expenditure of proceeds from the sale of any Bonds, the interest on which is to be excluded from gross income under the Code, and any investment earnings thereon to be used for the financing of any of the improvements described and so designated in the certificate delivered in accordance with Section 2(b) hereof (referred to herein and subsection (c) of this Section as a "Project") by allocating proceeds to expenditures within 18 months of the later of the date that (a) the expenditure on a Project is made or (b) each such Project is completed. The foregoing notwithstanding, the Board shall not expend such proceeds or investment earnings more than 60 days after the earlier of (a) the fifth anniversary of the date of delivery of such Bonds or (b) the date such Bonds are retired, unless the Board obtains an opinion of nationally-recognized bond counsel substantially to the effect that such expenditure will not adversely affect the tax-exempt status of such Bonds. For purposes of this subsection (b), the Board shall not be obligated to comply with this covenant if it obtains an opinion of nationally-recognized bond counsel to the effect that such failure to comply will not adversely affect the excludability for federal income tax purposes from gross income of the interest.

(c) ***Disposition of Project.*** The Board covenants that none of the property constituting a Project financed or refinanced with the proceeds of any Bonds, the interest on which is to be excluded from gross income under the Code, or the Nineteenth Series Bonds or the Refunded Bonds, as the case may be, will be sold or otherwise disposed in a transaction resulting in the receipt by the Board of cash or other compensation, unless the Board obtains an opinion of nationally-recognized bond counsel substantially to the effect that such sale or other disposition will not adversely affect the tax-exempt status of such Bonds. For purposes of this subsection (c), the portion of the property comprising personal property and disposed of in the ordinary course of business shall not be treated as a transaction resulting in the receipt of cash or other compensation. For purposes of this subsection (c), the Board shall not be obligated to comply with this covenant if it obtains an opinion of nationally-recognized bond counsel to the effect that such failure to comply will not adversely affect the excludability for federal income tax purposes from gross income of the interest.

(d) ***Written Procedures.*** Written procedures have been established by the Vice Chancellor for Finance for the University System regarding private business use, remedial action, arbitrage and rebate and the application of the covenants set forth in this Section, and the written procedures shall apply to the Bonds issued as obligations described in section 103 of the Code.

Section 13. TAXABLE BONDS. The Vice Chancellor for Finance of the University System, acting for and on behalf of the Board, shall designate those Bonds authorized to be sold pursuant to the terms of this Twenty-Sixth Supplement that the Issuer does not intend to issue the Bonds in a manner such that the Bonds would constitute obligations described in section 103 of the Code and all

applicable temporary, proposed and final regulations and procedures promulgated thereunder or promulgated under the Internal Revenue Code of 1954, to the extent applicable to the Code.

Section 14. **TWENTY-SIXTH SUPPLEMENT TO CONSTITUTE A CONTRACT; EQUAL SECURITY.** In consideration of the acceptance of the Bonds, the issuance of which is authorized hereunder, by those who shall hold the same from time to time, this Twenty-Sixth Supplement shall be deemed to be and shall constitute a contract between the Board and the Holders from time to time of the Bonds and the pledge made in this Twenty-Sixth Supplement by the Board and the covenants and agreements set forth in this Twenty-Sixth Supplement to be performed by the Board shall be for the equal and proportionate benefit, security, and protection of all Holders, without preference, priority, or distinction as to security or otherwise of any of the Bonds authorized hereunder over any of the others by reason of time of issuance, sale, or maturity thereof or otherwise for any cause whatsoever, except as expressly provided in or permitted by this Twenty-Sixth Supplement.

Section 15. **SEVERABILITY OF INVALID PROVISIONS.** If any one or more of the covenants, agreements, or provisions herein contained shall be held contrary to any express provisions of law or contrary to the policy of express law, though not expressly prohibited, or against public policy, or shall for any reason whatsoever be held invalid, then such covenants, agreements, or provisions shall be null and void and shall be deemed separable from the remaining covenants, agreements, or provisions and shall in no way affect the validity of any of the other provisions hereof or of the Bonds issued hereunder.

Section 16. **PAYMENT AND PERFORMANCE ON BUSINESS DAYS.** Except as provided to the contrary in the FORM OF BONDS, whenever under the terms of this Twenty-Sixth Supplement or the Bonds, the performance date of any provision hereof or thereof, including the payment of principal of or interest on the Bonds, shall occur on a day other than a Business Day, then the performance thereof, including the payment of principal of and interest on the Bonds, need not be made on such day but may be performed or paid, as the case may be, on the next succeeding Business Day with the same force and effect as if made on the date of performance or payment.

Section 17. **LIMITATION OF BENEFITS WITH RESPECT TO THE TWENTY-SIXTH SUPPLEMENT.** With the exception of the rights or benefits herein expressly conferred, nothing expressed or contained herein or implied from the provisions of this Twenty-Sixth Supplement or the Bonds is intended or should be construed to confer upon or give to any person other than the Board, the Holders, and the Paying Agent/Registrar, any legal or equitable right, remedy, or claim under or by reason of or in respect to this Twenty-Sixth Supplement or any covenant, condition, stipulation, promise, agreement, or provision herein contained. This Twenty-Sixth Supplement and all of the covenants, conditions, stipulations, promises, agreements, and provisions hereof are intended to be and shall be for and inure to the sole and exclusive benefit of the Board, the Holders, and the Paying Agent/Registrar as herein and therein provided.

Section 18. **CUSTODY, APPROVAL, BOND COUNSEL'S OPINION, CUSIP NUMBERS, PREAMBLE AND INSURANCE.** The Vice Chancellor for Finance for the University System is hereby authorized to have control of the Bonds issued hereunder and all

necessary records and proceedings pertaining to the Bonds pending their delivery and approval by the Attorney General of the State of Texas. The Vice Chancellor for Finance for the University System is hereby authorized, to the extent deemed necessary or advisable thereby, in the discretion thereof, to request that the Attorney General approve the Bonds, in which case the Vice Chancellor for Finance for the University System also is authorized to request the Comptroller of Public Accounts register the Bonds, and to cause an appropriate legend reflecting such approval and registration to appear on the Bonds and the substitute Bonds. The Vice Chancellor for Finance for the University System is hereby authorized, in connection with the submission to the Attorney General of the State of Texas of a transcript of proceedings for the approval of any series of the Bonds, to pay the fee for the examination of the transcript of proceedings in the amount determined in accordance with the provisions of Section 1202.004, Texas Government Code. The approving legal opinion of the Issuer's Bond Counsel and the assigned CUSIP numbers may, at the option of the Issuer, be printed on the Bonds and on any Bonds issued and delivered in exchange or replacement of any Bond, but neither shall have any legal effect, and shall be solely for the convenience and information of the registered owners of the Bonds. The preamble to this Twenty-Sixth Supplement is hereby adopted and made a part of this Twenty-Sixth Supplement for all purposes. The Vice Chancellor for Finance for the University System is hereby authorized to purchase a municipal bond insurance policy from a municipal bond insurance provider that has an underlying rating of "AA-" (or its equivalent) or better at the time Bonds are sold (the "Bond Insurer") as additional security for the Bonds. The printing of a legend describing the municipal bond insurance policy issued by the Bond Insurer is hereby authorized. The payment of the premium to the Bond Insurer in consideration for the issuance of said policy, should one be so obtained, is hereby approved. Any insurance commitment issued by the Bond Insurer shall be made a part hereof for all purposes. In addition, it is agreed that should such policy be obtained, the Board will comply with the conditions applicable to the Bonds, as set forth in any insurance commitment issued by the Bond Insurer, as if such conditions were incorporated in this Twenty-Sixth Supplement, and will pay to the Paying Agent/Registrar for the Bonds so insured the debt service due on the Bonds so insured by the Bond Insurer not later than one Business Day prior to each principal or interest payment date of the Bonds. In the event such policy is obtained, the Vice Chancellor for Finance of the University System is hereby authorized to execute any agreements with the Bond Insurer in connection with the issuance of the municipal bond insurance policy. In the event such policy is obtained, the Vice Chancellor for Finance of the University System is hereby instructed to provide notice to the Bond Insurer in the event such payment is not made to the Paying Agent/Registrar on or before the Business Day before the scheduled principal or interest payment date; failure to make such payment to the Paying Agent/Registrar on or before the Business Day before the scheduled principal or interest payment date shall not constitute a default under the terms of this Twenty-Sixth Supplement.

Section 19. COMPLIANCE WITH RULE 15c2-12. (a) *Annual Reports.* (i) The Board shall provide annually to the MSRB, within six months after the end of each fiscal year ending in or after 2017, financial information and operating data with respect to the Board of the general type provided in accordance with the terms of the Twenty-Third Supplement. Promptly after filing such information with the MSRB, a copy of the information filed with the MSRB also shall be provided to a Purchaser in a format acceptable to the Purchaser, with respect to Bonds sold as a private

placement. If the Board changes its Fiscal Year, it will notify the MSRB of the change (and of the date of the new Fiscal Year end) prior to the next date by which the Board otherwise would be required to provide financial information and operating data pursuant to this Section. The financial information and operating data to be provided pursuant to this Section may be set forth in full in one or more documents or may be included by specific reference to any document (including an official statement or other offering document, if it is available from the MSRB) that theretofore has been provided to the MSRB or filed with the SEC. All filings shall be made electronically, in the format specified by the MSRB.

(ii) If the Board changes its Fiscal Year, it will notify the MSRB of the change (and of the date of the new Fiscal Year end) prior to the next date by which the Board otherwise would be required to provide financial information and operating data pursuant to this Section. The financial information and operating data to be provided pursuant to this Section may be set forth in full in one or more documents or may be included by specific reference to any document (including an official statement or other offering document, if it is available from the MSRB) that theretofore has been provided to the MSRB or filed with the SEC. Filings shall be made electronically, in such format as prescribed by the MSRB.

(b) ***Disclosure Event Notices.*** The Board shall notify the MSRB, in a timely manner not in excess of ten Business Days after the occurrence of any of the following events, notice of any of the following events with respect to the Bonds:

1. Principal and interest payment delinquencies;
2. Non-payment related defaults, if material;
3. Unscheduled draws on debt service reserves reflecting financial difficulties;
4. Unscheduled draws on credit enhancements reflecting financial difficulties;
5. Substitution of credit or liquidity providers, or their failure to perform;
6. Adverse tax opinions, the issuance by the Internal Revenue Service of proposed or final determinations of taxability, Notices of Proposed Issue (IRS Form 5701-TEB) or other material notices or determinations with respect to the tax status of the Bonds, or other events affecting the tax status of the Bonds;
7. Modifications to rights of holders of the Bonds, if material;
8. Bond calls, if material, and tender offers;
9. Defeasances;
10. Release, substitution, or sale of property securing repayment of the Bonds, if material;
11. Rating changes;
12. Bankruptcy, insolvency, receivership or similar event of the Board;
13. The consummation of a merger, consolidation, or acquisition involving the Board or the sale of all or substantially all of the assets of the University System, other than in the ordinary course of business, the entry into a definitive agreement to undertake such an action or the termination of a definitive agreement relating to any such actions, other than pursuant to its terms, if material; and

14. Appointment of a successor Paying Agent/Registrar or change in name of the Paying Agent/Registrar, if material.

The Board shall notify the MSRB, in a timely manner, of any failure by the Board to provide financial information or operating data in accordance with subsection (b) of this Section by the time required by subsection (a) of this Section. As used in clause 12 above, the phrase "bankruptcy, insolvency, receivership or similar event" means the appointment of a receiver, fiscal agent or similar officer for the University System in a proceeding under the U.S. Bankruptcy Code or in any other proceeding under state or federal law in which a court or governmental authority has assumed jurisdiction over substantially all of the assets or business of the University System, or if jurisdiction has been assumed by leaving the Board and officials or officers of the University System in possession but subject to the supervision and orders of a court or governmental authority, or the entry of an order confirming a plan of reorganization, arrangement or liquidation by a court or governmental authority having supervision or jurisdiction over substantially all of the assets or business of the University System.

(c) ***Limitations, Disclaimers, and Amendments.*** (i) The Board shall be obligated to observe and perform the covenants specified in this Section for so long as, but only for so long as, the Board remains an "obligated person" with respect to the Bonds within the meaning of the Rule, except that the Board in any event will give notice of any deposit made in accordance with this Twenty-Sixth Supplement or applicable law that causes the Bonds no longer to be Outstanding.

(ii) The provisions of this Section are for the sole benefit of the registered owners and beneficial owners of the Bonds, and nothing in this Section, express or implied, shall give any benefit or any legal or equitable right, remedy, or claim hereunder to any other person. The Board undertakes to provide only the financial information, operating data, financial statements, and notices which it has expressly agreed to provide pursuant to this Section and does not hereby undertake to provide any other information that may be relevant or material to a complete presentation of the Board's financial results, condition, or prospects or hereby undertake to update any information provided in accordance with this Section or otherwise, except as expressly provided herein. The Board does not make any representation or warranty concerning such information or its usefulness to a decision to invest in or sell Bonds at any future date.

(iii) UNDER NO CIRCUMSTANCES SHALL THE BOARD BE LIABLE TO THE REGISTERED OWNER OR BENEFICIAL OWNER OF ANY BOND OR ANY OTHER PERSON, IN CONTRACT OR TORT, FOR DAMAGES RESULTING IN WHOLE OR IN PART FROM ANY BREACH BY THE BOARD, WHETHER NEGLIGENT OR WITHOUT FAULT ON ITS PART, OF ANY COVENANT SPECIFIED IN THIS SECTION, BUT EVERY RIGHT AND REMEDY OF ANY SUCH PERSON, IN CONTRACT OR TORT, FOR OR ON ACCOUNT OF ANY SUCH BREACH SHALL BE LIMITED TO AN ACTION FOR MANDAMUS OR SPECIFIC PERFORMANCE.

(iv) No default by the Board in observing or performing its obligations under this Section shall comprise a breach of or default under this Twenty-Sixth Supplement for purposes of any other provision of this Twenty-Sixth Supplement. Nothing in this Section is intended or shall act to disclaim, waive, or otherwise limit the duties of the Board under federal and state securities laws.

(v) Should the Rule be amended to obligate the Issuer to make filings or provide notices to entities other than the MSRB, the Issuer agrees to undertake such obligation in accordance with the Rule, as amended.

(vi) The provisions of this Section may be amended by the Board from time to time to adapt to changed circumstances that arise from a change in legal requirements, a change in law, or a change in the identity, nature, status, or type of operations of the Board, but only if (1) the provisions of this Section, as so amended, would have permitted an underwriter to purchase or sell Bonds in the primary offering of the Bonds in compliance with the Rule, taking into account any amendments or interpretations of the Rule since such offering as well as such changed circumstances and (2) either (a) the registered owners of a majority in aggregate principal amount (or any greater amount required by any other provision of this Twenty-Sixth Supplement that authorizes such an amendment) of the Bonds then outstanding consent to such amendment or (b) a person that is unaffiliated with the Board (such as nationally-recognized bond counsel) determined that such amendment will not materially impair the interest of the registered owners and beneficial owners of the Bonds. If the Board so amends the provisions of this Section, it shall include with any amended financial information or operating data next provided in accordance with subsection (a) of this Section an explanation, in narrative form, of the reason for the amendment and of the impact of any change in the type of financial information or operating data so provided. The Board may also amend or repeal the provisions of this continuing disclosure agreement if the SEC amends or repeals the applicable provision of the Rule or a court of final jurisdiction enters judgment that such provisions of the Rule are invalid, but only if and to the extent that the provisions of this sentence would not prevent an underwriter from lawfully purchasing or selling Bonds in the primary offering of the Bonds.

Section 20. **FURTHER PROCEDURES; OFFICIAL STATEMENT.** Each Board Representative, and all other officers, employees, and agents of the Board, and each of them, shall be and they are hereby expressly authorized, empowered, and directed from time to time and at any time to do and perform all such acts and things and to execute, acknowledge, and deliver in the name and under the corporate seal and on behalf of the Issuer all such instruments, whether or not herein mentioned, as may be necessary or desirable in order to carry out the terms and provisions of this Twenty-Sixth Supplement, the Bonds, the sale and delivery of the Bonds and fixing all details in connection therewith, including, without limitation, any continuing disclosure undertaking agreement reasonably requested by the purchasers of the Bonds through a competitive sale or a negotiated sale conducted as a public underwriting, and to approve any Official Statement, or supplements thereto, in connection with the Bonds. The final Official Statement relating to the offering of any series of Bonds shall be approved by the Vice Chancellor for Finance for the University System. The Vice Chancellor for Finance for the University System is authorized to approve any supplement to the Official Statement incorporating the information contained in the

Bond Purchase Agreement, in the case of a negotiated sale conducted as a public underwriting, and the Bidding Instructions and Official Bid Form, in the case of a competitive sale, and such additional information as deemed material consistent with the requirements of the Rule and to authorize the distribution of such final Official Statement to the initial purchasers of the Bonds for their use in the sale of the Bonds to members of the general public. The use of such final Official Statement in the offer and sale of the Bonds is hereby approved. In case any officer whose signature shall appear on the Bonds shall cease to be such officer before the delivery of the Bonds, such signature shall nevertheless be valid and sufficient for all purposes the same as if such officer had remained in office until such delivery.

Section 21. **REFUNDING.** (a) ***Refunded Bonds.*** The principal amount of Bonds, if any, issued to refund all or any portion of the Refundable Bonds, and the Refunded Bonds to be refunded, shall be specifically identified in the certificate described in Section 3(b)(i) hereof. The Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, may elect not to refund any or all of the Refundable Bonds, but in no event shall the Bonds be issued for the purpose of refunding Refunded Bonds if the refunding of the aggregate principal amount of the obligations selected for refunding does not result in the minimum amount of savings established in Section 2(c) hereof being achieved. Should Bonds be sold for the purpose of refunding the Refunded Bonds, on or before the date of delivery of the Bonds the Vice Chancellor for Finance for the University System shall execute and deliver to the Board a certificate stating that minimum amount of net present value savings and gross savings resulting from the refunding of the Refunded Bonds herein established has been exceeded. The determination of the Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, relating to the issuance and sale of Bonds to refund Refunded Bonds in such principal amount as provided in the certificate to be executed by the Vice Chancellor for Finance of the University System as described in Section 3(b)(i) hereof shall have the same force and effect as if such determination were made by the Board. The Vice Chancellor for Finance for the University System is hereby directed to effect the prior redemption of any of the Refundable Bonds, and the redemption date or dates for the Refunded Bonds shall be set forth in the certificate to be executed by the Vice Chancellor for Finance of the University System as described in Section 3(b)(i) hereof.

(b) ***Refunded Commercial Paper Notes.*** The principal amount of Bonds, if any, issued to refund Refunded Commercial Paper Notes shall be specifically identified in the certificate to be executed by the Vice Chancellor for Finance for the University System in accordance with the provisions of Section 2(d) of this Twenty-Sixth Supplement. Concurrently with the delivery of such Bonds, proceeds in the amount of the principal amount of the Refunded Commercial Paper Notes that are to be refunded, if any, and interest thereon, if any, with a portion of the proceeds from the sale of the Bonds shall be deposited to the credit of the "Note Payment Fund", established in accordance with the provisions of the Tenth Supplement and the Twenty-Fourth Supplement, as the case may be, to refund those Refunded Commercial Paper Notes designated by the Vice Chancellor for Finance for the University System to be refunded and retired with a portion of the proceeds of the Bonds. The determination of the Vice Chancellor for Finance for the University System, acting for and on behalf of the Board, relating to the issuance and sale of Bonds to refund Refunded

Commercial Paper Notes shall have the same force and effect as if such determination were made by the Board.

Section 22. **ESCROW AGREEMENT.** The Board shall cause to be deposited with the Escrow Agent, from the proceeds received from the sale of the Bonds sold for such purpose and other available moneys of the Board, an amount sufficient to provide for the refunding of the Refunded Bonds in accordance with Chapter 1207, Texas Government Code, to the extent Bonds are sold for such purpose. The Vice Chancellor for Finance for the University System is hereby authorized, for and on behalf of the Board, to execute and deliver the Escrow Agreement to accomplish the establishing of firm banking arrangements in connection with the refunding of the Refunded Bonds, in the standard form previously approved by the Board, with such changes as the Vice Chancellor for Finance for the University System deems necessary to effect the sale of the Bonds issued for such purpose, and to take such other actions on behalf of the Board to effect the sale of the Bonds issued for such purpose, including, without limitation, causing the redemption of the Refunded Bonds in accordance with the terms of the Supplement authorizing their issuance.

Section 23. **DTC LETTER OF REPRESENTATION.** The previous execution and delivery of the DTC Blanket Letter of Representations with respect to obligations of the Board is hereby ratified and confirmed; and the provisions thereof shall be fully applicable to the Bonds.

Section 24. **REPEAL OF CONFLICTING RESOLUTIONS.** All resolutions and all parts of any resolutions (other than the Master Resolution which are in conflict or inconsistent with this Twenty-Sixth Supplement, are hereby repealed and shall be of no further force or effect to the extent of such conflict or inconsistency.

Section 25. **RULES OF CONSTRUCTION.** For all purposes of this Twenty-Sixth Supplement, unless the context requires otherwise, all references to designated Sections and other subdivisions are to the Sections and other subdivisions of this Twenty-Sixth Supplement. The words "herein", "hereof" and "hereunder" and other words of similar import refer to this Twenty-Sixth Supplement as a whole and not to any particular Section or other subdivision. Except where the context otherwise requires, terms defined in this Twenty-Sixth Supplement to impart the singular number shall be considered to include the plural number and vice versa. References to any named person means that party and its successors and assigns. References to any constitutional, statutory or regulatory provision means such provision as it exists on the date this Twenty-Sixth Supplement is adopted by the Board and any future amendments thereto or successor provisions thereof. Any reference to the payment of principal in this Twenty-Sixth Supplement shall be deemed to include the payment of mandatory sinking fund redemption payments. Any reference to "FORM OF BONDS" shall refer to the form of the Bonds set forth in Exhibit B to this Twenty-Sixth Supplement. References to the Vice Chancellor for Finance for the University System shall mean the person holding that position at the time Bonds are sold, whether acting, interim, or permanent.

Section 26. **PUBLIC NOTICE.** It is hereby found and determined that each of the officers and members of the Board was duly and sufficiently notified officially and personally, in advance, of

the time, place, and purpose of the meeting at which this Twenty-Sixth Supplement was adopted; that this Twenty-Sixth Supplement would be introduced and considered for adoption at said meeting; and that said meeting was open to the public, and public notice of the time, place, and purpose of said meeting was given, all as required by Chapter 551, Texas Government Code.

SCHEDULE I

Refundable Bonds

All outstanding maturities and sinking fund installments of any maturities of the following series of bonds are eligible to be refunded:

Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2010, bonds maturing on and after April 15, 2021

Board of Regents of the University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2012A, bonds maturing on and after April 15, 2022

Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Taxable Series 2012B, bonds maturing on and after April 15, 2022

Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2015, bonds maturing on April 15, 2025, sinking fund installments payable on and after April 15, 2020

Board of Regents of the University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2015A, bonds maturing on and after April 15, 2025

Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Taxable Series 2015B, bonds maturing on and after April 15, 2025

Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2015C, bonds maturing on April 15, 2033, sinking fund installments payable on and after April 15, 2018

The Refundable Bonds may be refunded with the proceeds of tax-exempt bonds, taxable bonds, or a combination of tax-exempt bonds and taxable bonds, as determined by the Vice Chancellor for Finance for the University System, subject to the minimum savings requirement set forth in Section 2(c) of this Twenty-Sixth Supplemental Resolution.

EXHIBIT A DEFINITIONS

As used in this Twenty-Sixth Supplement the following terms and expressions shall have the meanings set forth below, unless the text hereof specifically indicates otherwise:

The term "*Acts*" shall mean, collectively, Chapter 55, Texas Education Code, and Chapters 1207 and 1371, Texas Government Code.

The term "*Authorized Denomination*" shall mean an Authorized Denomination as defined in Section 3(a) of the Twenty-Sixth Supplement.

The term "*Bidding Instructions*" shall mean the Notice of Sale and Bidding Instructions distributed to potential purchasers of Twenty-Sixth Series Bonds sold pursuant to a competitive sale.

The terms "*Board*" and "*Issuer*" shall mean the Board of Regents of the University System.

The term "*Board Representative*" shall mean the Vice Chancellor for Finance for the University System, the Associate Vice Chancellor for Treasury for the University System, or such other officials of the University or the Health Science Center appointed by the Board to carry out the functions of the Board specified herein.

The term "*Bond Purchase Agreement*" shall mean a bond purchase agreement (i) between the Board and the Underwriters, pertaining to the purchase of the Bonds by the Underwriters sold through a negotiated sale conducted as a public underwriting, and (ii) between the Board and the Purchaser, pertaining to the purchase of the Bonds by the Purchaser sold through a negotiated sale conducted as a private placement.

The term "*Bonds*" shall mean the Twenty-Sixth Series Bonds, and all substitute bonds exchanged therefor, and all other substitute and replacement bonds issued pursuant to the Twenty-Sixth Supplement; and the term "Bond" means any of the Bonds.

The term "*Business Day*" shall mean any day which is not a Saturday, Sunday, legal holiday, or a day on which banking institutions in The City of New York, New York or in the city where the Designated Trust Office of the Paying Agent/Registrar is located are authorized by law or executive order to close.

The term "*Code*" means the Internal Revenue Code of 1986, as amended.

The term "*Commercial Paper Notes*" shall mean the Series A Commercial Paper Notes and the Series B Commercial Paper Notes.

The term "*Designated Trust Office*" shall have the meaning ascribed to said term in Section 5(b) of the Twenty-Sixth Supplement.

The term "*DTC*" shall mean The Depository Trust Company, New York, New York, or any successor securities depository.

The term "*DTC Participant*" shall mean securities brokers and dealers, banks, trust companies, clearing corporations, and certain other organizations on whose behalf DTC was created to hold securities to facilitate the clearance and settlement of securities transactions among DTC Participants.

The term "*Escrow Agent*" shall mean the financial institution named in an Escrow Agreement, as determined by the Vice Chancellor for Finance for the University System.

The term "*Escrow Agreement*" shall mean the Escrow Agreement, one or more, between the Board and the Escrow Agent, executed in connection with the refunding of Refunded Bonds.

The term "*Fifteenth Series Bonds*" shall mean, collectively, the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Series 2012A and the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Taxable Series 2012B, authorized by the Fifteenth Supplement.

The term "*Fifteenth Supplement*" shall mean the resolution adopted by the Board on August 18, 2011, authorizing the authorizing the Fifteenth Series Bonds.

The term "*Fourteenth Series Bonds*" shall mean, collectively, the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Series 2009A, the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2009B, and the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2010, authorized by the Fourteenth Supplement.

The term "*Fourteenth Supplement*" shall mean the resolution adopted by the Board of Regents on August 21, 2009, authorizing the Fourteenth Series Bonds.

The term "*Health Science Center*" shall mean the University of North Texas Health Science Center at Fort Worth.

The term "*MAC*" means the Municipal Advisory Council of Texas.

The term "*Master Resolution*" shall mean the "Amended and Restated Master Resolution Establishing the Revenue Financing System under the Authority and Responsibility of the Board of Regents of the University of North Texas", adopted by the Board on February 12, 1999.

The term "*Maturity*" shall mean the date on which the principal of a Bond becomes due and payable as therein and herein provided, whether at Stated Maturity, by redemption, declaration of acceleration, or otherwise.

The term "*MSRB*" shall mean the Municipal Securities Rulemaking Board.

The term "*Official Bid Form*" shall mean the bid form prepared in accordance with the Bidding Instructions and submitted by potential purchasers of any Twenty-Sixth Series Bonds sold pursuant to a competitive sale.

The terms "*Paying Agent/Registrar*", "*Paying Agent*" or "*Registrar*" shall mean the agent appointed pursuant to Section 5 of the Twenty-Sixth Supplement, or any successor to such agent.

The term "*Paying Agent/Registrar Agreement*" shall mean the agreement between the Board and the Paying Agent/Registrar, with respect to the Bonds.

The term "*Purchaser*" shall mean the bank or other financial institution listed in a Bond Purchase Agreement executed in connection with a negotiated sale conducted as a private placement of Bonds.

The term "*Record Date*" shall mean, with respect to the Bonds, the last business day of each month preceding an interest payment date.

The term "*Refundable Bonds*" shall mean the outstanding bonds issued by the Board as shown in Schedule I attached to the Twenty-Sixth Supplement.

The term "*Refunded Bonds*" shall mean those Refundable Bonds selected by the Vice Chancellor for Finance for the University System to be refunded with the proceeds of Bonds authorized to be issued by the Twenty-Sixth Supplement, as more fully described in the certificate to be delivered by the Vice Chancellor for Finance for the University System in accordance with Section 3(b)(i) of the Twenty-Sixth Supplement.

The term "*Refunded Commercial Paper Notes*" shall mean those Commercial Paper Notes selected by the Vice Chancellor for Finance for the University System to be refunded with the proceeds of Bonds authorized to be issued by the Twenty-Sixth Supplement, as more fully described in the certificate to be delivered by the Vice Chancellor for Finance for the University System in accordance with Section 3(b)(i) of the Twenty-Sixth Supplement.

The term "*Registration Books*" shall mean the books or records relating to the registration, payment, and transfer or exchange of the Bonds maintained by the Paying Agent/Registrar pursuant to Section 5 of the Twenty-Sixth Supplement.

The term "*Regulations*" shall mean all applicable temporary, proposed and final regulations and procedures promulgated under the Code or promulgated under the Internal Revenue Code of 1954, to the extent applicable under the Code.

The term "*Rule*" shall mean SEC Rule 15c2-12, as amended from time to time.

The term "*SEC*" shall mean the United States Securities and Exchange Commission.

The term "*Series A Commercial Paper Notes*" shall mean the Board of Regents of The University of North Texas Revenue Financing System Commercial Paper Notes, Series A (consisting of two sub-series, a tax-exempt sub-series and a taxable sub-series), issued pursuant to the provisions of the Master Resolution and the Tenth Supplement.

The term "*Series B Commercial Paper Notes*" shall mean the Board of Regents of The University of North Texas Revenue Financing System Commercial Paper Notes, Series A (consisting of two sub-series, a tax-exempt sub-series and a taxable sub-series), issued pursuant to the provisions of the Master Resolution and the Twenty-Fourth Supplement.

The term "*Sixteenth Series Bonds*" shall mean, collectively, the Board of Regents of the University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2015A and the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Taxable Series 2015B, authorized by the Sixteenth Supplement.

The term "*Sixteenth Supplement*" shall mean the resolution adopted by the Board of Regents on August 28, 2015, authorizing the Sixteenth Series Bonds.

The term "*Stated Maturity*", shall mean, when used with respect to the Bonds, the scheduled maturity or mandatory sinking fund redemption of the Bonds.

The term "*Tenth Supplement*" shall mean the resolution adopted by the Board on May 8, 2008, as amended, authorizing the Series A Commercial Paper Notes.

The term "*Thirteenth Series Bonds*" shall mean the Board of Regents of the University of North Texas System Revenue Financing System Bonds, Series 2009, authorized by the Thirteenth Supplement.

The term "*Thirteenth Supplement*" shall mean the resolution adopted by the Board on November 20, 2008, authorizing the Thirteenth Series Bonds.

The term "*Twentieth Series Bonds*" shall mean the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2015, authorized by the Twentieth Supplement.

The term "*Twentieth Supplement*" shall mean the resolution adopted by the Board on April 8, 2015, authorizing the Twentieth Series Bonds.

The term "*Twenty-First Series Bonds*" shall mean the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Series 2015C, authorized by the Twenty-First Supplement.

The term "*Twenty-First Supplement*" shall mean the resolution adopted by the Board on October 6, 2015, authorizing the Twenty-First Series Bonds.

The term "*Twenty-Second Series Bonds*" shall mean the Board of Regents of the University of North Texas System Revenue Financing System Refunding Bonds, Forward Delivery Series 2018, authorized by the Twenty-First Supplement.

The term "*Twenty-Second Supplement*" shall mean the resolution adopted by the Board on May 20, 2016, authorizing the Twenty-Second Series Bonds.

The term "*Twenty-Fourth Supplement*" shall mean the resolution adopted by the Board on November 18, 2016, as amended, authorizing the Series B Commercial Paper Notes.

The term "*Twenty-Sixth Series Bonds*" shall mean the Bonds of any series authorized by this Twenty-Sixth Supplement.

The term "*Twenty-Sixth Supplement*" shall mean this resolution authorizing the Bonds.

The term "*Twenty-Third Series Bonds*" shall mean, collectively, the Board of Regents of the University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Series 2017A and the Board of Regents of the University of North Texas System Revenue Financing System Refunding and Improvement Bonds, Taxable Series 2017B, authorized by the Twenty-Third Supplement.

The term "*Twenty-Third Supplement*" shall mean the resolution adopted by the Board on August 19, 2016, authorizing the Twenty-Third Series Bonds.

The term "*Underwriters*" shall mean the investment banking firms listed in a Bond Purchase Agreement executed in connection with a negotiated sale conducted as a public underwriting of Bonds.

The term "*University*" shall mean the University of North Texas.

The term "*University System*" shall mean the University of North Texas System.

The term "*UNT-Dallas*" shall mean The University of North Texas at Dallas.

All terms not herein defined shall have the meanings given to such terms by the Master Resolution or as otherwise defined in the Twenty-Sixth Supplement.

EXHIBIT B
FORM OF BONDS

UNITED STATES OF AMERICA
STATE OF TEXAS
BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM
REVENUE FINANCING SYSTEM BOND,
_____ SERIES 201__

NO. R-__			PRINCIPAL AMOUNT
			\$ _____
<u>INTEREST RATE</u>	<u>MATURITY DATE</u>	<u>DATE OF DELIVERY</u>	<u>CUSIP</u>

REGISTERED OWNER:

PRINCIPAL AMOUNT: DOLLARS

ON THE MATURITY DATE specified above, the BOARD OF REGENTS OF THE UNIVERSITY OF NORTH TEXAS SYSTEM (the "Issuer"), hereby promises to pay to the Registered Owner, specified above, or the registered assignee hereof (either being hereinafter called the "registered owner") the principal amount, specified above, and to pay interest thereon, calculated on the basis of a 360-day year composed of twelve 30-day months, from the Date of Delivery, specified above, to the Maturity Date, specified above, or the date of redemption prior to maturity, at the interest rate per annum, specified above; with interest being payable on _____ 15, 20__, and semiannually on each _____ 15 and _____ 15 thereafter, except that if the date of authentication of this Bond is later than the first Record Date (hereinafter defined), such principal amount shall bear interest from the interest payment date next preceding the date of authentication, unless such date of authentication is after any Record Date but on or before the next following interest payment date, in which case such principal amount shall bear interest from such next following interest payment date.

THE PRINCIPAL OF AND INTEREST ON this Bond are payable in lawful money of the United States of America, without exchange or collection charges, solely from funds of the Issuer required by the resolution authorizing the issuance of the Bonds to be on deposit with the Paying Agent/Registrar for such purpose as hereinafter provided. The principal of this Bond shall be paid to the registered owner hereof upon presentation and surrender of this Bond at maturity or upon the date fixed for its redemption prior to maturity, at the designated corporate trust office in _____, _____ (the "Designated Trust Office") of _____, which is the "Paying Agent/Registrar" for this Bond.

The payment of interest on this Bond shall be made by the Paying Agent/Registrar to the registered owner hereof on each interest payment date by check, dated as of such interest payment date, and such check shall be sent by the Paying Agent/Registrar by United States mail, first-class postage prepaid, on each such interest payment date, to the registered owner hereof, at the address of the registered owner, as it appeared on the last business day of the month next preceding each such date (the "Record Date") on the Registration Books kept by the Paying Agent/Registrar, as hereinafter described; provided, that upon the written request of any owner of not less than \$1,000,000 in principal amount of Bonds provided to the Paying Agent/Registrar not later than the Record Date immediately preceding an interest payment date, interest due on such Bonds on such interest payment date shall be made by wire transfer to any designated account within the United States of America. In addition, interest may be paid by such other method acceptable to the Paying Agent/Registrar, requested by, and at the risk and expense of, the registered owner hereof. Any accrued interest due upon the redemption of this Bond prior to maturity as provided herein shall be paid to the registered owner upon presentation and surrender of this Bond for redemption and payment at the Designated Trust Office of the Paying Agent/Registrar. The Issuer covenants with the registered owner of this Bond that on or before each principal payment date and interest payment date for this Bond it will make available to the Paying Agent/Registrar, the amounts required to provide for the payment, in immediately available funds, of all principal of and interest on the Bonds, when due. Notwithstanding the foregoing, during any period in which ownership of the Bonds is determined by a book entry at a securities depository for the Bonds, payments made to the securities depository, or its nominee, shall be made in accordance with arrangements between the Issuer and the securities depository.

THIS BOND is one of a Series of Bonds, dated as of _____, 201_, authorized in accordance with the Constitution and laws of the State of Texas in the aggregate principal amount of \$ _____, issued pursuant to a Twenty-Sixth Supplemental Resolution to the Master Resolution adopted August 18, 2017, and pursuant to the Master Resolution referred therein (collectively, the "Bond Resolution"), FOR THE PURPOSE OF (i) ACQUIRING, PURCHASING, CONSTRUCTING, IMPROVING, RENOVATING, ENLARGING OR EQUIPPING PROPERTY, BUILDINGS, STRUCTURES, FACILITIES, ROADS, OR RELATED INFRASTRUCTURE FOR PARTICIPANTS IN THE REVENUE FINANCING SYSTEM, (ii) FUNDING, TO THE EXTENT PERMITTED BY APPLICABLE LAW, CAPITALIZED INTEREST ON THE BONDS, (iii) REFUNDING THE REFUNDED BONDS AND THE REFUNDED COMMERCIAL PAPER NOTES, AND (iv) PAYING THE COSTS OF ISSUANCE RELATED TO THE SALE OF THE BONDS. Terms used herein and not otherwise defined have the meaning given in the Bond Resolution.

ON APRIL 15, 20__, or on any date thereafter, the Bonds of this Series maturing on and after April 15, 20__ may be redeemed prior to their scheduled maturities, at the option of the Issuer, with funds derived from any available and lawful source, as a whole, or in part, and, if in part, the particular Bonds, or portions thereof, to be redeemed shall be selected and designated by the Board (provided that a portion of a Bond may be redeemed only in an integral multiple of \$5,000), at par and accrued interest to the date fixed for redemption; provided, that during any period in which ownership of the Bonds is determined only by a book entry at a securities depository for the Bonds,

if fewer than all of the Bonds of the same maturity and bearing the same interest rate are to be redeemed, the particular Bonds of such maturity and bearing such interest rate shall be selected in accordance with the arrangements between the Board and the securities depository.

[IF LESS THAN all of the Bonds of this Series are to be redeemed, the particular maturities of Bonds to be redeemed at the option of the Board will be determined by the Board in its sole discretion.

IF THE BONDS OF THIS SERIES are registered in book-entry only form and so long as The Depository Trust Company ("DTC") or a successor securities depository is the sole registered owner of such Bonds, if less than all of the Bonds of a maturity are called for prior redemption, the particular Bonds or portions thereof to be redeemed shall be allocated on a *pro rata pass-through distribution of principal* basis in accordance with DTC procedures, provided that, so long as the Bonds are held in book-entry form, the selection for redemption of such Bonds shall be made in accordance with the operational arrangements of DTC then in effect, and, if the DTC operational arrangements do not allow for redemption on a pro rata pass-through distribution of principal basis, the Bonds will be selected for redemption, in accordance with DTC procedures, by lot.

THE ISSUER intends that redemption allocations made by DTC be made on a pro rata pass-through distribution of principal basis as described above. However, neither the Board nor the Underwriters can provide any assurance that DTC, DTC's direct and indirect participants or any other intermediary will allocate the redemption of Bonds of this Series on such basis.

FOR PURPOSES OF calculation of the "pro rata pass-through distribution of principal," "pro rata" means, for any amount of principal to be paid, the application of a fraction to each denomination of the respective Bonds of this Series where (a) the numerator of which is equal to the amount due to the respective bondholders on a payment date, and (b) the denominator of which is equal to the total original par amount of the respective Bonds.

IF THE BONDS of this Series are no longer registered in book-entry-only form, each owner will receive an amount of Bonds equal to the original face amount then beneficially held by that owner, registered in such investor's name. Thereafter, any redemption of less than all of the Bonds of any maturity will continue to be paid to the registered owners of such Bonds on a pro-rata basis, based on the portion of the original face amount of any such Bonds to be redeemed.]}#

#To appear in Taxable Bonds only, if so provided in the applicable Bond Purchase Agreement.

THE BONDS maturing on April 15 in each of the years ____ and ____, shall be subject to mandatory sinking fund redemption prior to their scheduled maturities in the following amounts, on April 15 in each of the years set forth below, at a price equal to the principal amount thereof and accrued and unpaid interest to the date of redemption, without premium:

<u>Year</u>	<u>Principal Amount (\$)</u>
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*Final Maturity

The principal amount of the Bonds required to be redeemed on each such redemption date pursuant to the foregoing operation of the mandatory sinking fund shall be reduced, at the option of the Issuer, by the principal amount of any Bonds, which, at least 45 days prior to the mandatory sinking fund redemption date, (1) shall have been acquired by the Issuer and delivered to the Paying Agent/Registrar for cancellation, or (2) shall have been acquired and canceled by the Paying Agent/Registrar at the direction of the Issuer, in either case at a price not exceeding the par or principal amount of such Bonds, or (3) have been redeemed pursuant to the optional redemption provisions set forth above and not theretofore credited against mandatory sinking fund redemption. During any period in which ownership of the Bonds is determined by a book entry at a securities depository for the Bonds, if fewer than all of the Bonds of the same maturity and bearing such interest rate are to be redeemed, the particular Bonds of such maturity and bearing such interest rate shall be selected in accordance with the arrangements between the Issuer and the securities depository.

AT LEAST 30 days prior to the date fixed for any redemption of Bonds or portions thereof prior to maturity a written notice of such redemption shall be sent by the Paying Agent/Registrar by United States mail, first-class postage prepaid, at least 30 days prior to the date fixed for any such redemption, to the registered owner of each Bond to be redeemed at its address as it appeared on the Registration Books on the 45th day prior to such redemption date. By the date fixed for any such redemption due provision shall be made with the Paying Agent/Registrar for the payment of the required redemption price for the Bonds or portions thereof which are to be so redeemed. If such written notice of redemption is published and if due provision for such payment is made, all as provided above, the Bonds or portions thereof which are to be so redeemed thereby automatically shall be treated as redeemed prior to their scheduled maturities, and they shall not bear interest after the date fixed for redemption, and they shall not be regarded as being outstanding except for the right of the registered owner to receive the redemption price from the Paying Agent/Registrar out of the funds provided for such payment. If a portion of any Bond shall be redeemed a substitute Bond or Bonds having the same maturity date, bearing interest at the same rate, in any denomination or denominations in any integral multiple of \$5,000, at the written request of the registered owner, and in aggregate principal amount equal to the unredeemed portion thereof, will be issued to the registered owner upon the surrender thereof for cancellation, at the expense of the Board, all as provided in the Bond Resolution.

THE FOREGOING PARAGRAPH NOTWITHSTANDING, with respect to any optional redemption of the Bonds, unless certain prerequisites to such optional redemption required by the Bond Resolution have been met and money sufficient to pay the principal of, premium, if any, and interest on the Bonds to be redeemed will have been received by the Paying Agent/Registrar prior to giving such notice, such notice may state that the optional redemption will, at the option of the Issuer, be conditional upon the satisfaction of such prerequisites and receipt of such money by the Paying Agent/Registrar on or prior to the date fixed for such redemption or upon any prerequisite set forth in the notice of redemption. If a conditional notice of redemption is given and such prerequisites to the redemption are not satisfied, such notice will be of no force and effect, the Issuer

will not redeem such Bonds and the Paying Agent/Registrar will give notice in the manner in which the notice of redemption was given, to the effect that such Bonds will not be redeemed.

IF THE DATE for the payment of the principal of or interest on this Bond shall be a Saturday, Sunday, a legal holiday, or a day on which banking institutions in The City of New York, New York, or in the city where the Designated Trust Office of the Paying Agent/Registrar is located are authorized by law or executive order to close, then the date for such payment shall be the next succeeding day which is not such a Saturday, Sunday, legal holiday, or day on which banking institutions are authorized to close; and payment on such date shall have the same force and effect as if made on the original date payment was due.

THIS BOND OR ANY PORTION OR PORTIONS HEREOF IN ANY AUTHORIZED DENOMINATION may be assigned and shall be transferred only in the Registration Books of the Issuer kept by the Paying Agent/Registrar acting in the capacity of registrar for the Bonds, upon the terms and conditions set forth in the Bond Resolution. Among other requirements for such assignment and transfer, this Bond must be presented and surrendered to the Paying Agent/Registrar, together with proper instruments of assignment, in form and with guarantee of signatures satisfactory to the Paying Agent/Registrar, evidencing assignment of this Bond or any portion or portions hereof in any authorized denomination to the assignee or assignees in whose name or names this Bond or any such portion or portions hereof is or are to be transferred and registered. The form of Assignment printed or endorsed on this Bond shall be executed by the registered owner or its duly authorized attorney or representative, to evidence the assignment hereof. A new Bond or Bonds payable to such assignee or assignees (which then will be the new registered owner or owners of such new Bond or Bonds), or to the previous registered owner in the case of the assignment and transfer of only a portion of this Bond, may be delivered by the Paying Agent/Registrar in exchange for this Bond, all in the form and manner as provided in the next paragraph hereof for the exchange of other Bonds. The Issuer shall pay the Paying Agent/Registrar's fees and charges, if any, for making such transfer or exchange as provided below, but the one requesting such transfer or exchange shall pay any taxes or other governmental charges required to be paid with respect thereto. The Paying Agent/Registrar shall not be required to make transfers of registration or exchange of this Bond or any portion hereof (i) during the period commencing with the close of business on any Record Date and ending with the opening of business on the next following principal or interest payment date, or, (ii) with respect to any Bond or any portion thereof called for redemption prior to maturity, within 45 days prior to its redemption date. The registered owner of this Bond shall be deemed and treated by the Issuer and the Paying Agent/Registrar as the absolute owner hereof for all purposes, including payment and discharge of liability upon this Bond to the extent of such payment, and, to the extent permitted by law, the Issuer and the Paying Agent/Registrar shall not be affected by any notice to the contrary.

ALL BONDS OF THIS SERIES are issuable solely as fully registered bonds, without interest coupons in the denomination of any integral multiple of \$5,000 (an "Authorized Denomination"). As provided in the Bond Resolution, this Bond, or any unredeemed portion hereof, may, at the request of the registered owner or the assignee or assignees hereof, be exchanged for a like aggregate principal amount of fully registered bonds, without interest coupons, payable to the appropriate

registered owner, assignee, or assignees, as the case may be, having the same maturity date, in the same form, and bearing interest at the same rate, in any Authorized Denomination as requested in writing by the appropriate registered owner, assignee, or assignees, as the case may be, upon surrender of this Bond to the Paying Agent/Registrar for cancellation, all in accordance with the form and procedures set forth in the Bond Resolution.

WHENEVER the beneficial ownership of this Bond is determined by a book entry at a securities depository for the Bonds, the foregoing requirements of holding, delivering, or transferring this Bond shall be modified to require the appropriate person or entity to meet the requirements of the securities depository as to registering or transferring the book entry to produce the same effect.

IN THE EVENT any Paying Agent/Registrar for the Bonds is changed by the Issuer, resigns, or otherwise ceases to act as such, the Issuer has covenanted in the Bond Resolution that it promptly will appoint a competent and legally qualified substitute therefor, and promptly will cause written notice thereof to be mailed to the registered owners of the Bonds.

IT IS HEREBY certified, recited, and covenanted that this Bond has been duly and validly authorized, issued, and delivered; that all acts, conditions, and things required or proper to be performed, exist, and be done precedent to or in the authorization, issuance, and delivery of this Bond have been performed, existed, and been done in accordance with law; that the Series of Bonds of which this Bond is one constitute Parity Obligations under the Master Resolution; and that the interest on and principal of this Bond, together with the other Bonds of this Series and the other outstanding Parity Obligations, are equally and ratably secured by and payable from a lien on and pledge of the Pledged Revenues.

THE ISSUER has reserved the right, subject to the restrictions referred to in the Bond Resolution, (i) to issue additional Parity Obligations which also may be secured by and made payable from a lien on and pledge of the aforesaid Pledged Revenues, in the same manner and to the same extent as this Bond, and (ii) to amend the provisions of the Bond Resolution under the conditions provided in the Bond Resolution.

THE REGISTERED OWNER hereof shall never have the right to demand payment of this Bond or the interest hereon out of any funds raised or to be raised by taxation or from any source whatsoever other than specified in the Bond Resolution.

BY BECOMING the registered owner of this Bond, the registered owner thereby acknowledges all of the terms and provisions of the Bond Resolution, agrees to be bound by such terms and provisions, acknowledges that the Bond Resolution is duly recorded and available for inspection in the official minutes and records of the Issuer, and agrees that the terms and provisions of this Bond and the Bond Resolution constitute a contract between each registered owner hereof and the Issuer.

IN WITNESS WHEREOF, the Issuer has caused this Bond to be signed with the manual or facsimile signature of the Chair of the Issuer and countersigned with the manual or facsimile

signature of the Secretary of the Issuer, and has caused the official seal of the Issuer to be duly impressed, or placed in facsimile, on this Bond.

Secretary, Board of Regents of the
University of North Texas System

Chair, Board of Regents of the
University of North Texas System

(BOARD SEAL)

FORM OF PAYING AGENT/REGISTRAR'S AUTHENTICATION CERTIFICATE

PAYING AGENT/REGISTRAR'S AUTHENTICATION CERTIFICATE

It is hereby certified that this Bond has been issued under the provisions of the Bond Resolution described in this Bond; and that this Bond has been issued in conversion of and exchange for or replacement of a bond, bonds, or a portion of a bond or bonds of an issue which originally was approved by the Attorney General of the State of Texas and registered by the Comptroller of Public Accounts of the State of Texas.

_____, Paying Agent/Registrar

Dated

Authorized Representative

FORM OF ASSIGNMENT

ASSIGNMENT

FOR VALUE RECEIVED, the undersigned registered owner of this Bond, or duly authorized representative or attorney thereof, hereby assigns this Bond to

/ _____ /

(Assignee's Social Security or Taxpayer Identification Number)

(print or typewrite Assignee's name and address, including zip code)

and hereby irrevocably constitutes and appoints

attorney to transfer the registration of this Bond on the Paying Agent/Registrar's Registration Books with full power of substitution in the premises.

Dated: _____

Signature Guaranteed:

NOTICE: This signature must be guaranteed by a member of the New York Stock Exchange or a commercial bank or trust company.

NOTICE: This signature must correspond with the name of the Registered Owner appearing on the face of this Bond.

[FORM OF REGISTRATION CERTIFICATE OF
COMPTROLLER OF PUBLIC ACCOUNTS TO ACCOMPANY
THE BONDS UPON INITIAL DELIVERY]

COMPTROLLER'S REGISTRATION CERTIFICATE:

REGISTER NO. _____

I hereby certify that this Bond has been examined, certified as to validity, and approved by the Attorney General of the State of Texas, and that this Bond and the proceedings authorizing its issuance have been registered by the Comptroller of Public Accounts of the State of Texas.

Witness my signature and seal this

Comptroller of Public Accounts
of the State of Texas

(COMPTROLLER'S SEAL)

Should the Bonds be insured by a Bond Insurer, a statement or legend describing the policy to be issued by the Bond Insurer may be printed on the Bonds so insured.



Title: Amendment to Regents Rule 10.300, *Debt Management*

Background:

The University of North Texas System seeks to manage its debt strategically and allocate its debt capacity to projects that are critical to advancing the mission and strategic objectives of the System and its components in order to maintain favorable cost of capital, flexibility and terms. The System analyzes capital project plans to monitor, evaluate and report to the Board of Regents key debt related financial ratios on a pro-forma basis.

Adoption of the attached amendments to Regents Rule 10.300, *Debt Management*, will formalize the evaluation process of capital projects and the estimated impacts on key debt ratios. The amendments designate the Vice Chancellor for Finance and the System finance office responsible for monitoring and reporting key debt related financial ratios to the Board of Regents at least on an annual basis in conjunction with the annual capital improvement plan.

Additionally, the amendments specify that alternative financing opportunities, such as public-private-partnerships and leaseback purchases, will be reviewed and evaluated to determine if such financings impact the System's credit profile.

Also, the amendments make clear that Board of Regents approval is necessary for allocation or expenditure of any replacement proceeds that may result from tax credits associated with a project.

Financial Analysis/History:

The formalization of the evaluation process of capital projects is anticipated to maintain or improve the System's relative cost of capital.

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
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Date: 2017.08.10 13:58:24 -05'00'
Vice Chancellor/General Counsel

Schedule:

Effective upon approval by the Board of Regents.

Recommendation:

It is recommended that the Board of Regents approve the attached amendments to Regents Rule 10.300, *Debt Management*.

Recommended By:

James Mauldin
Associate Vice Chancellor for Treasury
and Reporting

Lee Jackson
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Chancellor

Attachments Filed Electronically:

- Amended draft of Regent Rule 10.300, *Debt Management*



Board Order

Title: Amendment to Regents Rule 10.300, *Debt Management*

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

Whereas, the University of North Texas System wishes to manage the System's debt capacity strategically in a manner that promotes the System's overall financial health and prioritizes projects that are critical to advancing the mission and strategic objectives of the System and its Institutions, and

Whereas, the formalization of the evaluation process for funding capital projects is anticipated to maintain or improve the System's relative cost of capital, and

Whereas the amendments to Regents Rule 10.300, *Debt Management* would designate the Vice Chancellor for Finance and the System finance office responsible for reporting key debt ratios at least on an annual basis in conjunction with the annual capital improvement plan.

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

1. The attached amendments to Regents Rule 10.300, *Debt Management*
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

10.300 Debt Management

10.301 Incurring Debt. The System, the System Administration, and the Institutions shall issue or incur debt (taxable or tax exempt) in accordance with applicable federal and state law and pursuant to actions taken by the Board to authorize the issuance or incurrence of debt. The System, the System Administration, and the Institutions shall obtain an opinion from bond counsel that the issue complies with applicable laws and regulations and receive requisite approval from all necessary state agencies before issuing or incurring any long-term or short-term debt. If a project requires Texas Higher Education Coordinating Board approval, no debt proceeds will be allocated to that project prior to receiving such approval.

10.302 Goals. The System will manage its debt within its overall financial profile as follows:

1. Identify and prioritize projects for debt financing that are critical to the mission and advance the strategic objectives of the System and allocate the System's debt capacity to these projects.
2. Align the financial position of the System to optimize its credit profile in conjunction with its strategic plan to obtain favorable cost of capital, flexibility and terms.

10.303 Project Prioritization. The System recognizes that debt as a funding source is a limited resource. Using debt as a funding source for capital projects is made in the context of the missions of the System and the Institutions – and considering other funding options such as state sources, philanthropy, and self-funding. Allocation and expenditure of replacement proceeds, if any, resulting from tax credits associate with a debt financed project shall require Board approval.

10.304 Debt Capacity and Affordability.

1. In evaluating its debt capacity and affordability, the Vice Chancellor for Finance will consider current debt levels, future debt financings, and overall financial strength of the System and the Institutions. Debt capacity considers the financial resources and the ability to leverage financial resources to finance certain capital projects. Debt affordability considers the ability to pay the debt service on an annual basis through operating budgets and identified revenue streams.
2. The Vice Chancellor for Finance monitors and reports key financial indicators to the Board of Regents at least annually and shall

benchmark these financial ratios to external sources, such as medians for the “Aa2/AA” category, and peer higher education institutions.

3. The System evaluates its performance against these measures with a long-term view and will monitor the trend of the ratios over time. The System recognizes that financing a strategically important project may cause one or more ratios to perform poorly against the trend, median or peer comparison in the short-term. Accordingly, the System takes a long term view to evaluate the project. Based on changing market conditions, the Vice Chancellor for Finance may change the financial indicators or ratios as related to the financial health of the System.
4. The Vice Chancellor for Finance will evaluate alternative financings to determine the impact on the System’s credit profile.

10.305 Debt Financial Ratios. In connection with this policy the ratios below will be monitored on at least an annual basis in conjunction with the adoption of the annual capital improvement plan – at both the System and component level – and reported to the Board of Regents. These ratios will be taken into consideration when developing long-term capital plans and when authorizing the issuance of additional debt. While these primary ratios below will be analyzed, other ratios may also be evaluated. The Vice Chancellor for Finance will evaluate the impact of proposed amendments to the capital improvement plan and report any anticipated material changes to the below ratios.

1. Spendable Cash and Investments to Debt: This ratio measures the availability of spendable cash and investments to debt and is a medium to long-term indicator of financial health based on the strength of the balance sheet.
2. Debt Service to Adjusted Operating Expenses: This ratio measures the percentage of expenses that support debt service and is an indicator of the System’s operating flexibility to finance existing obligations and provide funding for new initiatives.
3. Debt Service Coverage Ratio: This ratio measures the System’s ability to cover debt service requirements with operating revenues and is an indicator of the strength of the operating incomes ability to meet its annual obligations.
4. Spendable Cash and Investments to Operating Expenses: The ratio measures the ability to cover operating expenses with spendable cash and investments and is an indicator of the financial strength of the System. Also, it provides insight into the amount of flexibility the System has to invest in new initiatives from existing resources.

~~10.304~~10.306

~~10.302~~10.307 Short-term Indebtedness.

1. The Board delegates to the Vice Chancellor for Finance, subject to Section 10.308 below, the authority to issue short-term indebtedness of up to \$150,000,000 in Revenue Financing System (“RFS”) commercial paper, which may be issued as traditional commercial paper (“CP”) or as extendible commercial paper (“ECP”). The aggregate principal amount of CP at any one time outstanding shall not exceed: (a) the aggregate principal amount established by resolution of the Board; (b) liquidity requirements approved by the Board; and (c) the sum of self-liquidity provided by the System and liquidity support obtained with the approval of the Board from a financial institution. The aggregate principal amount of ECP at any one time outstanding shall not exceed: (a) the aggregate principal amount established by resolution of the Board; and (b) parameters approved by the Board to service extendible rate debt payments. The maximum combined amount of CP and ECP maturing on any one day is \$25,000,000 and the maximum combined amount of CP and ECP maturing in the same week is \$50,000,000.
2. The Vice Chancellor for Finance shall be responsible for identifying funds held by the System for the purpose of providing self-liquidity in support of CP notes, the investment of such funds, and the administration and development of a policy with respect to the management of the self-liquidity program.
3. Short-term debt may be used to purchase equipment, to provide interim financing for capital projects (including land acquisition) during construction, to pay for issuance costs, and to provide continued financing after construction has been completed.
4. The Vice Chancellor for Finance shall be responsible for monitoring the issuance of RFS commercial paper, including the rollover of outstanding CP and ECP notes and the payment of any extendible interest rate obligations with respect to ECP. All conversions of CP and ECP notes to long-term indebtedness shall be approved by the Board by adoption of a resolution authorizing the issuance of long-term indebtedness to refinance CP and ECP notes.

~~10.303~~10.308 Use of Commercial Paper after Completion of Construction.

1. For projects that utilize CP or ECP as interim financing and are expected to be completed before or during the next fiscal year, Institutions shall budget for projected debt service expenses assuming that the CP or ECP shall be fixed into long-term bonds in the next fiscal year, at prevailing rates as provided by System Treasury staff. If CP or ECP issued to provide interim financing for a project is to remain outstanding beyond the fiscal year end that construction of the project is completed, the System Administration or Institution shall submit a written proposal and financing plan to the Vice Chancellor for Finance within a reasonable period of time,

but no later than 90 days, prior to the expected date of completion of the project. Approval is required from the Vice Chancellor for Finance for CP or ECP to remain outstanding after construction of a project is completed. CP or ECP may remain outstanding for a period no greater than two years after the completion of a project, unless the Board, in its sole determination, permits CP or ECP to remain outstanding beyond the two year period.

2. Any fiscal year interest savings realized by financing a project after construction with CP or ECP, as compared to projected interest rate payments if the financing had been converted to fixed long-term bonds, shall be used to reduce the project's outstanding CP or ECP principal balance unless otherwise approved by the Board or the Vice Chancellor for Finance.

~~10.304~~10.309 Bond Approval. The Vice Chancellor for Finance has the authority to approve the pricing of bond and note issues. The Vice Chancellor for Finance is responsible for assuring compliance with all bond covenants and that all necessary approvals, certifications, and authorizations are fully documented and made available to the Board and to all bondholders.

~~10.305~~10.310 Debt Service. The Vice Chancellor for Finance is responsible for assuring that all debt service payments are made in a timely manner to the appropriate paying agents. The President is responsible for debt service funding if an Institution is participating in the RFS program.

~~10.306~~10.311 Texas Higher Education Coordinating Board Approval. The Vice Chancellor for Finance shall be responsible for maintaining a record of the approvals of projects by the Texas Higher Education Coordinating Board, when applicable, that are financed or to be financed with the proceeds of debt, including approvals identifying the proposed funding sources and amounts authorized for approved projects.

~~10.307~~10.312 Reimbursement Certificates. The Vice Chancellor for Finance is authorized and directed to execute Reimbursement Certificates, as required by U.S. Treasury Regulations § 1.150-2, in connection with projects the Board intends to debt finance.

~~10.308~~10.313 Financing of Capital Items with Commercial Paper. Financing of any capital item through the use of RFS commercial paper must be approved by the Board. The Vice Chancellor for Finance shall be responsible for submitting any required notice to the Texas Bond Review Board.

~~10.309~~10.314 Compliance. The System receives financial benefits from the Revenue Financing System and the issuance of tax-exempt RFS commercial paper and bonds to achieve the System's tax-exempt purposes. The Board recognizes that legal obligations must be met to ensure good stewardship of this tax-exempt benefit. The System shall adopt appropriate regulation(s) and procedures related to tax-exempt RFS commercial paper and bond compliance, including issuance, expenditure of proceeds, and post-issuance compliance consistent

with the Internal Revenue Code, Treasury Regulations, these Regents Rules,
and bond documents.

Adopted: November 15, 2007

Effective: November 15, 2007

Revised: May 8, 2008; February 20, 2014, November 18, 2016



Title: FY17 Identity Theft Prevention Programs for UNTS, UNT, UNTHSC, and UNTD

Background:

The Fair and Accurate Credit Transactions Act of 2003 (FACTA) required the Federal Trade Commission ("FTC") to develop and implement regulations to mitigate incidents of identity theft. The FTC issued the required regulations in November of 2007; these regulations called for entities that engaged in covered activities to implement an identity theft prevention program as of November 1, 2008. The implementation date was later extended to May 1, 2009. In 2009, the Board of Regents adopted Regents Rule 10.802, requiring the System Administration and each Institution to develop and implement a written Identity Theft Prevention Program that complied with FTC regulations and that was designed to detect, prevent, and mitigate identity theft in connection with the opening of a covered account or access to an existing covered account. Both Regent Rule 10.802 and FTC regulation require that an Identity Theft Prevention Program be approved by Board.

The FTC regulatory provisions related to identity theft are called the "Red Flags Rule." The Red Flags Rule seeks to prevent someone who has stolen an identity or is trying to steal an identity from successfully completing the fraudulent act. Organizations that are subject to the FTC regulations are required to identify red flags in order to single out suspicious behavior and develop processes to protect against possible fraudulent activity when a red flag is triggered.

Since 2009, the System and its component institutions have engaged in a multitude of activities designed to identify and prevent identity theft. Employees have been trained on identity theft and safeguards have been put in place, with a special emphasis on safeguarding electronic accounts. However, these activities were never reduced to a single written document. In recent months, the Compliance Offices and ITSS have worked with the Office of General Counsel to reduce practices related to identity theft prevention to writing and to capture these practices in a separate Identity Theft Prevention Program document for each of the institutions and for the System Administration.

At this time, the Identity Theft Prevention Programs for the System Administration and for each institution are being presented to the Board for approval. The Vice Chancellor for Finance for the System and the Chief Financial Officer at each institution have been designated as being responsible for oversight of the Program and Program Administrators have been designated to carry out day-to-day operations of the Program. The Programs are required to be reviewed annually. A request is also being made for a delegation of authority from the Board to the Vice Chancellor for Finance and the Chief Financial Officer for each Institution to allow the Programs to be updated as necessary.

Financial Analysis/History:

There are no financial implications associated with the FY17 Identity Theft Prevention Programs for UNTS, UNT, UNTHSC, and UNTD.

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Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

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Date: 2017.08.08 16:13:42 -05'00'

Vice Chancellor/General Counsel

Schedule: FY17

Recommendation:

It is recommended that the UNT System Board of Regents approve the attached FY17 Identity Theft Prevention Programs for UNTS, UNT, UNTHSC, and UNTD and delegate authority to update the Programs as necessary to the Vice Chancellor for Finance for the System and the Chief Financial Officer for each of the institutions.

Recommended By:

Steven A. Hill I

UNT System Compliance Officer

**Tracy C.
Grunig**

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Chief Audit Executive

Lee Jackson

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Chancellor

Attachments Filed Electronically:

- FY17 Identity Theft Prevention Programs for UNTS, UNT, UNTHSC, and UNTD



Board Order

Title: FY17 Identity Theft Prevention Programs for UNTS, UNT, UNTHSC, and UNTD

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

Whereas, the Compliance offices in conjunction with IT Shared Services and the Office of General Counsel have developed Identity Theft Prevention Programs for the University of North Texas System Administration, the University of North Texas, the University of North Texas Health Science Center at Fort Worth, and the University of North Texas at Dallas,

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

1. Adoption of the FY17 Identity Theft Prevention Program for the University of North Texas System Administration
 2. Adoption of the FY17 Identity Theft Prevention Program for the University of North Texas
 3. Adoption of the FY17 Identity Theft Prevention Program for the University of North Texas Health Science Center
 4. Adoption of the FY17 Identity Theft Prevention Program for the University of North Texas at Dallas
 5. Delegation of authority to update the Identity Theft Prevention Programs as necessary to the Vice Chancellor for Finance and the Chief Financial Officer for each of the institutions.
-

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

University of North Texas System Administration
Identity Theft Prevention Program

I. Purpose of the Identity Theft Prevention Program

The Federal Trade Commission (“FTC”) requires certain entities, including UNT System Administration (UNTS) to adopt an Identity Theft Prevention Program (“Program”) to help prevent Identity Theft. FTC regulations related to Identity Theft prevention are part of the Fair and Accurate Credit Transactions Act and are collectively known as the Red Flags Rule (16 CFR §681). In compliance with the Red Flags Rule, the University of North Texas System Administration’s Program is designed to better assist UNT System units and departments in identifying someone who may try to use another individual’s identity to gain access to Covered Accounts at UNT System Administration. The System Administration’s Program is designed to detect, prevent and mitigate Identity Theft in connection with the opening of a Covered Account or any existing Covered Account.

II. Red Flag Rules Overview

The Red Flags Rule requires users of consumer credit reports, certain creditors and certain card issuers to take various steps to protect consumers from Identity Theft.

Users of credit reports must respond to notices of address discrepancies and take reasonable steps to confirm the accuracy of the address it may have.

A creditor must periodically determine, by conducting a risk assessment, whether it offers or maintains Covered Accounts. Upon identifying any Covered Account(s), the creditor is required to develop and implement a written Identity Theft Prevention Program designed to:

- A.** Identify relevant Red Flags for new and existing Covered Accounts and incorporate those Red Flags into the Program;
- B.** Detect Red Flags;
- C.** Respond appropriately to any Red Flags that are detected to prevent and mitigate Identity Theft; and,
- D.** Periodically update the program to reflect changes in risks to the account holders or to the safety and soundness of the creditor from Identity Theft.

A card issuer must establish and implement reasonable address verification procedures.

III. **Definitions**

- A. **“Account”** means any continuing financial relationship between UNTS and an account holder that permits the account holder to obtain a product or service from UNTS. It may involve the extension of credit for the purchase of a product or service, or a deposit account.
- B. **“Covered Account”** is any student, faculty, staff, client or patient account that allows payment to be deferred; permits multiple payments or transactions, such as a loan that is billed or payable monthly; or poses a reasonably foreseeable risk of Identity Theft to consumers or businesses. These include, but are not limited to:
- Participation in Federal Perkins Loan Program
 - Student Emergency Loan Program
 - Payment plans and promissory notes for covered student accounts
- C. **“Identity Theft”** is a fraud committed or attempted using the identifying information of another person without authorization.
- D. **“Information Resources”** are the procedures, equipment and software that are employed, designed, built, operated and maintained to collect, record, process, store, retrieve, display, and transmit information, and associated personnel including consultants and contractors.
- E. **“Information Security”** is the protection of information and Information Resources from threats in order to ensure business continuity, minimize business risks, and maximize the ability of the System, System Administration and its Institutions to meet their goals and objectives. Information Security ensures the confidentiality, integrity and availability of Information Resources and information.
- F. **“Personally Identifiable Information”** means any name or number that may be used, alone or in conjunction with other information, to identify an individual, including, but not limited to:
- Name
 - Address
 - Telephone Number
 - Social Security Number
 - Date of Birth
 - Government Issued Driver’s License Number or Identification Number

- Alien Registration Number
- Government Passport Number
- Employer or Taxpayer Identification Number
- Unique Electronic Identification Number
- Computer's Internet Protocol Address or Routing Code
- UNT System Assigned Student Identification Number
- UNT System Assigned Employee Identification Number

G. "Red Flags" mean a suspicious pattern, practice or specific activity that indicates the possibility of Identity Theft and that occurs in connection with a Covered Account at UNTS.

IV. Program Oversight

At the University of North Texas System Administration, the Vice Chancellor for Finance is responsible for oversight of the System's Program. The Associate Vice-Chancellor for Finance and Administration or designee is the Program Administrator for the Program and is responsible for developing, implementing, maintaining, and day-to-day operation of the Program. The Program Administrator works with departmental or unit administrators in areas affected by the Red Flags Rule to ensure understanding of and compliance with the Program. The Program Administrator also works in conjunction with the System's Information Security Officer and the appropriate campus' Information Security Officer (as applicable) to address Red Flags and Identity Theft issues related to Information Resources and Information Security.

V. Covered Accounts at the University of North Texas System Administration

The following UNTS units or departments open or administer Covered Accounts and are required to comply with this policy:

- Business Support Services
- Controller's Office
- External Relations (UNT System Building)
- Human Resources
- Payments
- Payroll
- Purchasing
- Student Accounting Services

- Vendor Maintenance
- Any other department, unit, or office at UNTS that opens or administers accounts meeting the definition of Covered Accounts

VI. Identification of Red Flags

In identifying Red Flags related to Covered Accounts and the applicable business procedures of UNTS, UNT System Administration considered the following risk factors: the types of Covered Accounts offered and maintained; the methods provided for opening and accessing each of those accounts; prior experiences with Identity Theft; the size; complexity; nature; and, scope of the institution and its activities. Each of the Red Flags mentioned below may only be applicable to certain Covered Accounts administered by the UNTS.

A. New Covered Accounts:

Possible Red Flags in connection with the establishment of a new Covered Account may include:

- Address discrepancies
- Presentation of suspicious documents
- Photograph or physical description in the identification document that is not consistent with the appearance of the person presenting the identification
- Personal identifying information that is not consistent with other personal identifying information that is on file with UNTS
- Documents provided for identification that appear to have been altered or forged

B. Existing Covered Accounts:

Possible Red Flags in connection with an existing Covered Account may include:

- Unusual or suspicious activity related to a Covered Account
- Notification from account holders, law enforcement, or service providers of unusual activity related to a Covered Account
- Notification of a problem in connection with a Covered Account from an account holder who claims to be the victim of any type of Identity Theft
- Notification from a credit bureau of fraudulent activity regarding a Covered Account
- Challenge questions used to access a Covered Account are answered incorrectly
- A complaint or question from an account holder based on the receipt of:

- i. Bill for another individual
 - ii. Bill for a product or service the account holder denies receiving
 - iii. Bill for a health care provider that the account holder denies patronizing
- A complaint or question from an account holder about the receipt of a collection notice from a collection agency when the account holder believes there is no debt
- A statement from an account holder that a bill was never received and the address on file is incorrect

C. Computer Accounts:

Possible Red Flags in connection with a computer account that provides access to or is related to a Covered Account may include:

- Unknown activity related to a computer account or computing services
- Repeat calls to applicable Service Desk to change secret question/secret answer
- Repeat requests to change computing credentials
- Receipt of notices regarding computer accounts or services that an account holder did not authorize
- Log discrepancies
- Social engineering attempts (spam, phishing scams, etc.)
- Unfamiliar user accounts or files
- Modification or deletion of data
- Changes in file or directory permissions

D. Units or departments that administer services for Covered Accounts should identify other relevant Red Flags and incorporate them into this Program.

VII. Red Flag Response:

After detection of a potential Red Flag, the following actions will be taken by UNTS departments or units that open or maintain Covered Accounts when appropriate, given the particular Covered Account at issue and the particular circumstances:

- A.** Obtain appropriate personal identifying information (e.g., photo identification; date of birth; academic status; user name and password; address; etc.) from the student or individual account holder prior to issuing a new or replacement ID card; opening a Covered Account; or, allowing access to a Covered Account.

- B. Provide notification to students and individuals holding Covered Accounts when certain changes to a Covered Account are made, to confirm that change was valid and to provide instruction in the event the change is invalid.
- C. Verify suspicious changes made to Covered Accounts that relate to an account holder's identity, administration of the account, and billing and payment information.
- D. Whenever an employee identifies a potential Red Flag, the information must be brought to the attention of the supervisor who will investigate the threat to determine the appropriate response and if there has been a breach. Since timing is critical, incidents must be investigated and responded to promptly and contained as quickly as possible. The Department or Unit head will notify the Program Administrator of the occurrence of any Red Flag, specific responses taken pertaining to the Red Flag and any possible breach of a Covered Account. In the event that Information Resources or Information Security may have been compromised, the Information Security Officer for UNTS shall be notified as well. Additional actions by the Program Administrator or the System Administration's Information Security Officer may include notifying and cooperating with the UNTS Office of General Counsel, the applicable campus Police Department and campus Information Security personnel (as applicable), and other campus units as necessary.

VIII. Prevention and Mitigation of Identity Theft

- A. Methods to prevent Identity Theft may include, but are not limited to the following actions:
 - Requiring each Covered Account Holder to provide photo identification at each "in person" encounter
 - Requiring multi-factor identification before conducting any transaction over the phone with the Covered Account Holder relating to a Covered Account
 - Requiring an on-line transaction to come through a secure, password protected portal or password protected e-mail account
 - Following up on each billing inquiry from a Covered Account Holder when the Covered Account Holder complains of suspicious activity
- B. Applicable units or departments should incorporate processes and procedures that address the detection of Red Flags in connection with the opening of Covered Accounts and existing accounts.

C. In addition to the efforts noted above to detect Identity Theft, UNTS personnel involved in the administration of the Covered Accounts will take the following steps, where appropriate and based upon the particular circumstances, to prevent and mitigate occurrences of Identity Theft when a Red Flag is detected:

- Monitor a Covered Account for evidence of Identity Theft
- Contact student(s) and/or individual account holder(s)
- Request additional documentation from the student and/or individual account holder to verify identity
- Change passwords, security codes and other security devices permitting access to the Covered Account
- Reopen a Covered Account with a new account number
- Decline to open a new Covered Account
- Close an existing Covered Account
- Notify law enforcement
- Determine that no response is warranted under the particular circumstances
- Attempt to identify the cause and source of the Red Flag
- Take appropriate steps to modify the applicable process to prevent similar activity in the future
- Notify appropriate UNTS personnel accessing records related to the affected account holder that a Red Flag has been detected

IX. Program Administration

A. Staff Training

The following staff related training offered at UNTS addresses and helps to prevent Identity Theft:

- 1. Red Flags Training** - Training on Identity Theft prevention developed by the Program Administrator's office is designed to assist UNTS departments or units who administer Covered Accounts.
- 2. FERPA Training** - All employees requesting access to student information in EIS (Enterprise Information System) are required to have training in the Family Educational Rights and Privacy Act of 1974, as Amended (FERPA).
- 3. Information Security Training** – UNTS' IT Shared Services (ITSS) is responsible for the Information Security program, which incorporates an Identity Theft

education and awareness component directed towards faculty, staff and students. In addition, training includes methods for detecting and avoiding “social-engineering” techniques (use of inappropriate methods for obtaining protected, sensitive, or confidential information) or phishing scams (a social engineering technique which uses email as a vehicle for obtaining information). Training is offered to faculty and staff online.

4. In addition to the training referenced above, departments and units that administer services related to Covered Accounts should develop and implement plans to effectively train their staff in the identification, detection, prevention and mitigation of the Red Flags identified above that are unique to their specific Covered Accounts. Staff training should be conducted on a regular basis and as necessary under the circumstances related to the administration of the particular Covered Account.

B. Identity Theft Prevention Controls:

The following Identity Theft Prevention controls are in place at UNTS and are used to help prevent Identity Theft:

1. ***UNTS Information Security Handbook for Faculty, Staff, and Students*** - ITSS maintains an Information Security handbook that includes information about protecting information resources. Persons who work with financial, medical, academic, or any other sensitive information are required to read the security handbook and become familiar with the policies and guidelines listed within as a continued effort by UNTS to prevent Identity Theft, as well as [FERPA](#), [HIPAA](#), [GLBA](#), and [DMCA](#) violations, and [copyright](#) infringement, as appropriate for their position.
2. ***Security Alerts and Notices*** – The Information Security program incorporates a security alert notification component which notifies UNTS’ computer support staff when potential threats or risks arise that could cause a negative impact to computing resources or UNTS constituents (e.g., students, faculty, and staff). Alerts can be sent via a variety of means which include email notices and call tracking alert systems.
 - Alerts that are directed to faculty and staff are delivered by one of several means which include support from computer support staff or via administrative announcements. The Associate Vice Chancellor and UNT

System Chief Information Officer send security reminders to faculty and staff regarding their responsibilities for protecting UNTS' computer resources and steps to avoid Identity Theft.

- Alerts that are directed to students are delivered via bulk mail via the student email system.
3. **Data Security Controls** – UNTS' critical enterprise computing systems, which house sensitive or confidential data, are protected by strict access controls. Access to these systems (i.e., EIS, Blackboard, MS Office 365, etc.) is provisioned for students, faculty, and staff; however, controls have been established to allow users of the systems to obtain access only to the components and data in which privileges have been granted based on owner defined-controls. Computing access to EIS is removed when employees terminate or retire.
 4. **Software Controls** – UNTS' enterprise computing systems, which house sensitive data, use encryption to protect data during transmission. In addition, ITSS has data encryption software that allows encryption of sensitive data and helps to prevent unauthorized download or copy of data.
 - UNTS has a site-license for anti-virus software which incorporates anti-spyware. Use of the software reduces the threat of viral infections, computer worms, or Trojan horses that could be used to damage computer systems or collect data from computer systems. Installation and use of anti-virus software is mandatory for all UNTS computer workstations. It is also available to students and can be used for personal home computer use by faculty and staff as provisioned in the software license.
 - UNT System Administration computers are required to be patched and kept-up-to-date with the latest applicable upgrades. The majority of applications can be configured to automatically update and patch software applications. In addition, the windows operating system is configured to enable firewall protection that will prevent unauthorized access to workstations.
 5. **Network Controls** – UNTS employs several network perimeter controls to prevent unauthorized access to UNTS' computing resources. Controls include a VPN which requires a user-id and password to access computers or applications

on the network, and a firewall that is used to filter against malicious or dangerous traffic.

6. **Intrusion Detection and Monitoring** - Intrusion detection and prevention systems are in place that detect occurrences of unusual network activity that could be attributed to security threats. These tools trigger alerts if threats are identified. Upon alert, Information Security team staff investigate to determine if incident handling procedures will be initiated.
7. **Password Controls** - Password security standards are in place for systems that authenticate against the Account Management System. Standards are in place to ensure that passwords are strong and meet complexity requirements to protect accounts from unauthorized activity.
8. **Physical Security Controls** - Mandatory Information Security training includes information to assist faculty and staff protect physical resources and data. Protection measures include office and building security, secure use and disposal of confidential documents, and protecting computer equipment and resources.
9. **Computer System Administration Standards** - Computer System administrators are required to adhere to the system administrator code of ethics, which requires administrators to agree to uphold strict confidentiality and integrity standards when administering computer systems or when they come into contact with data.
10. **Service Desk** - Registrar Offices associated with UNTS utilize procedures and policies that require mandatory FERPA training prior to obtaining access to any computer system that contains student information. UNT System IT Service Desk staff do not provide personal information to customers. Students who need personal information from their record are referred to the applicable Registrar's Office. Employees who need personal information from their record are referred to Human Resources.
 - Physical security measures are also enabled at the UNTS IT Service Desk. Workstation monitors are not visible from a public vantage point. Customers are never allowed to use workstations that have access to administrative tools. Customer service workstations have limited user rights to help prevent the installation of unwanted programs that may compromise Information Security. Workstations are logged out when not occupied.

- Other protections that are in place at the UNTS IT Service Desk include installation of antivirus software, restricted administrative access to enterprise computing systems is limited to specific workstations. UNTS IT Service Desk staff do not ask customers to provide any personal information through email. Service Desk support requests are received using the IT service management ticketing system.

C. Oversight of Service Providers:

The UNTS contracts with certain third party providers who receive information related to Covered Accounts or who perform an activity in connection with Covered Accounts. UNTS departments and units that maintain Covered Accounts under this Program should take steps necessary to ensure that activities of service providers are conducted in accordance with procedures designed to detect, prevent, and mitigate the risk of Identity Theft. This may include having a written agreement with the third party provider in which the third party provider commits to having a program in place to ensure compliance with the Red Flags Rule.

UNTS contracts or agreements with applicable service providers generally include provisions to protect data and information resources. In addition, UNTS Business Services units, Student Accounting Services, and ITSS are working to establish security, network and payment card industry standards for service providers who conduct business that may involve use of protected data. Standards will include requirements provisioned by the Red Flags Rule, payment card industry data security standard (PCI-DSS), UNT System Information Security Regulations and Texas Department of Information Resources (TX-DIR) Information Security Standards.

D. Reporting:

1. At least annually before the end of the fiscal year, departments and units that maintain Covered Accounts under this Program should report to the Program Administrator, regarding their compliance with this Program. The reporting should address the following elements:
 - The department's or unit's identification of Covered Accounts is accurate and up to date, and the department or unit has developed local processes and procedures for addressing Red Flags associated with the Covered Accounts.

- The department or unit has conducted the appropriate training for their staff as necessary and has taken the appropriate steps to ensure any service provider activity is conducted appropriately.
 - The department or unit has reported Red Flag occurrences as required.
 - Suggested program updates or changes as applicable to the department or unit.
2. The Program Administrator is responsible for conducting an annual Program assessment as described below and providing an annual report to the Vice Chancellor for Finance.

E. Program Assessment and Update:

This Program will be reviewed annually by the Program Administrator. The review will include a risk assessment of the following factors: changes in the methods of Identity Theft; changes in the method of detection; prevention and mitigation of Identity Theft; changes to the Covered Accounts offered and administered by the UNTS; additional units or departments that have become responsible for opening or maintaining Covered Accounts; and, the potential Red Flags that may arise with respect to the Covered Accounts.

The annual risk assessment process will also include an assessment of the Program's effectiveness, significant incidents of Identity Theft, and management's responses. The assessment will consider any changes in risks to students and individual account holders of Identity Theft, findings from the annual departmental reports, and the safety and soundness of the UNTS' identity protection systems. The annual review will include input from the System's Information Security Officer and the applicable locations' Information Security personnel. After the risk assessment is conducted, the Program Administrator will recommend updates to the Identity Theft Prevention Program and the Vice Chancellor for Finance will authorize updates as necessary.

To report a suspected incident of Identity Theft, or if you have questions regarding the UNTS' Identity Theft Protection Program, please contact the Program Administrator at (940) 369-5500.

University of North Texas
Identity Theft Prevention Program

I. Purpose of the Identity Theft Prevention Program

The Federal Trade Commission (“FTC”) requires certain entities, including universities, to adopt an Identity Theft Prevention Program (“Program”) to help prevent Identity Theft. FTC regulations related to Identity Theft prevention are part of the Fair and Accurate Credit Transactions Act and are collectively known as the Red Flags Rule (16 CFR §681). In compliance with the Red Flags Rule, the University of North Texas Program is designed to better assist UNT units and departments in identifying someone who may try to use another individual’s identity to gain access to Covered Accounts at UNT. UNT’s Program is designed to detect, prevent and mitigate Identity Theft in connection with the opening of a Covered Account or any existing Covered Account.

II. Red Flag Rules Overview

The Red Flags Rule requires users of consumer credit reports, certain creditors and certain card issuers to take various steps to protect consumers from Identity Theft.

Users of credit reports must respond to notices of address discrepancies and take reasonable steps to confirm the accuracy of the address it may have.

A creditor must periodically determine, by conducting a risk assessment, whether it offers or maintains Covered Accounts. Upon identifying any Covered Account(s), the creditor is required to develop and implement a written Identity Theft Prevention Program designed to:

- A.** Identify relevant Red Flags for new and existing Covered Accounts and incorporate those Red Flags into the Program;
- B.** Detect Red Flags;
- C.** Respond appropriately to any Red Flags that are detected to prevent and mitigate Identity Theft; and
- D.** Periodically update the program to reflect changes in risks to the account holders or to the safety and soundness of the creditor from Identity Theft.

A card issuer must establish and implement reasonable address verification procedures.

III. **Definitions**

- A. **“Account”** means any continuing financial relationship between UNT and an account holder that permits the account holder to obtain a product or service from UNT. It may involve the extension of credit for the purchase of a product or service, or a deposit account.
- B. **“Covered Account”** is any student, faculty, staff, client or patient account that allows payment to be deferred; permits multiple payments or transactions, such as a loan that is billed or payable monthly; or poses a reasonably foreseeable risk of Identity Theft to consumers or businesses. These include, but are not limited to:
- Participation in Federal Perkins Loan Program
 - Student Emergency Loan Program
 - Payment plans and promissory notes for covered student accounts
 - Payment plans for covered employee accounts, such as parking permit or donations
- C. **“Identity Theft”** is a fraud committed or attempted using the identifying information of another person without authorization.
- D. **“Information Resources”** are the procedures, equipment and software that are employed, designed, built, operated and maintained to collect, record, process, store, retrieve, display, and transmit information, and associated personnel including consultants and contractors.
- E. **“Information Security”** is the protection of information and Information Resources from threats in order to ensure business continuity, minimize business risks, and maximize the ability of the System, System Administration and its Institutions to meet their goals and objectives, Information Security ensures the confidentiality, integrity and availability of Information Resources and information.
- F. **“Personally Identifiable Information”** means any name or number that may be used, alone or in conjunction with other information, to identify an individual, including, but not limited to:
- Name
 - Address
 - Telephone Number

- Social Security Number
- Date of Birth
- Government Issued Driver's License Number or Identification Number
- Alien Registration Number
- Government Passport Number
- Employer or Taxpayer Identification Number
- Unique Electronic Identification Number
- Computer's Internet Protocol Address or Routing Code
- UNT Assigned Student Identification Number

G. **"Red Flags"** mean a suspicious pattern, practice or specific activity that indicates the possibility of Identity Theft and that occurs in connection with a Covered Account at UNT.

IV. Program Oversight

At the University of North Texas, the Vice President for Finance and Administration is responsible for oversight of the University's Program. The Director of Business Development is designated as the Program Administrator for the Program and is responsible for developing, implementing, maintaining, and day-to-day operation of the Program. The Program Administrator works with departmental or unit administrators in areas affected by the Red Flags Rule to ensure understanding of and compliance with the Program. The Program Administrator also works in conjunction with the System's Information Security Officer and UNT's Information Security Officer (as applicable) to address Red Flags and Identity Theft issues related to Information Resources and Information Security.

V. Covered Accounts at the University of North Texas

The following UNT units or departments open or administer Covered Accounts and are required to comply with this policy:

- Financial Aid and Scholarships
- Student Accounting and University Cashiering Services
- Controller's Office
- Housing and Residence Life
- Psychology Clinic(s)
- Pohl Recreation Center

- Parking and Transportation
- Child Development Center
- Autism Center
- Speech and Hearing (Audiology)
- Student Affairs (Orientation and Transition Programs)
- Any other department, unit, or office at UNT that opens or administers accounts meeting the definition of Covered Accounts

VI. Identification of Red Flags

In identifying Red Flags related to Covered Accounts and the applicable business procedures, UNT considered the following risk factors: the types of Covered Accounts offered and maintained; the methods provided for opening and accessing each of those accounts; prior experiences with Identity Theft; the size; complexity; nature; and, scope of the institution and its activities. Each of the Red Flags mentioned below may only be applicable to certain Covered Accounts administered by UNT.

A. New Covered Accounts:

Possible Red Flags in connection with the establishment of a new Covered Account may include:

- Address discrepancies
- Presentation of suspicious documents
- Photograph or physical description in the identification document that is not consistent with the appearance of the person presenting the identification
- Personal identifying information that is not consistent with other personal identifying information that is on file with UNT
- Documents provided for identification that appear to have been altered or forged

B. Existing Covered Accounts:

Possible Red Flags in connection with an existing Covered Account may include:

- Unusual or suspicious activity related to a Covered Account
- Notification from account holders, law enforcement, or service providers of unusual activity related to a Covered Account
- Notification of a problem in connection with a Covered Account from an account holder who claims to be the victim of any type of Identity Theft

- Notification from a credit bureau of fraudulent activity regarding a Covered Account
- Challenge questions used to access a Covered Account are answered incorrectly
- A complaint or question from an account holder based on the receipt of:
 - i. Bill for another individual
 - ii. Bill for a product or service the account holder denies receiving
 - iii. Bill for a health care provider that the account holder denies patronizing
- A complaint or question from an account holder about the receipt of a collection notice from a collection agency when the account holder believes there is no debt
- A statement from an account holder that a bill was never received and the address on file is incorrect

C. Computer Accounts:

Possible Red Flags in connection with a computer account that provides access to or is related to a Covered Account may include:

- Unknown activity related to a computer account or computing services
- Repeat calls to applicable Helpdesk to change secret question/secret answer
- Repeat requests to change computing credentials
- Receipt of notices regarding computer accounts or services that an account holder did not authorize
- Log discrepancies
- Social engineering attempts (spam, phishing scams, etc.)
- Unfamiliar user accounts or files
- Modification or deletion of data
- Changes in file or directory permissions

D. Units or departments that administer services for Covered Accounts should identify other relevant Red Flags and incorporate them into this Program.

VII. Red Flag Response:

After detection of a potential Red Flag, the following actions will be taken by UNT departments or units that open or maintain Covered Accounts when appropriate, given the particular Covered Account at issue and the particular circumstances:

- A. Obtain appropriate personal identifying information (e.g., photo identification, date of birth, academic status, user name and password, address, etc.) from the student or individual account holder, prior to issuing a new or replacement ID card, opening a Covered Account, or allowing access to a Covered Account
- B. Provide notification to students and individuals holding a Covered Account when certain changes to that Covered Account are made, to confirm that change was valid and to provide instruction in the event the change is invalid.
- C. Verify suspicious changes made to Covered Accounts that relate to an account holder's identity, administration of the account, and billing and payment information.
- D. Whenever an employee identifies a potential Red Flag, the information must be brought to the attention of the supervisor who will investigate the threat to determine the appropriate response and if there has been a breach. Since timing is critical, incidents must be investigated and responded to promptly and contained as quickly as possible. The Department or Unit head will notify the Program Administrator of the occurrence of any Red Flag, specific responses taken pertaining to the Red Flag and any possible breach of a Covered Account. In the event that Information Resources or Information Security may have been compromised, the Information Security Officer for UNT System Administration (UNTS) shall be notified as well. Additional actions by the Program Administrator or UNTS' Information Security Officer may include notifying and cooperating with the UNTS Office of General Counsel, UNT's Police Department and campus Information Security Officer (as applicable), and other departments as necessary.

VIII. Prevention and Mitigation of Identity Theft

- A. Methods to prevent Identity Theft may include, but are not limited to the following actions:
 - Requiring each Covered Account Holder to provide photo identification at each "in person" encounter.
 - Requiring multi-factor identification before conducting any transaction over the phone with the Covered Account Holder relating to a Covered Account.
 - Requiring an on-line transaction to come through a secure, password protected portal or password protected e-mail account.

- Following up on each billing inquiry from a Covered Account Holder when the Covered Account Holder complains of suspicious activity.
- B.** Applicable units or departments should incorporate processes and procedures that address the detection of Red Flags in connection with the opening of Covered Accounts and existing accounts.
- C.** In addition to the efforts noted above to detect Identity Theft, UNT personnel involved in the administration of the Covered Accounts will take the following steps, where appropriate and based upon the particular circumstances, to prevent and mitigate occurrences of Identity Theft when a Red Flag is detected:
- Monitor a Covered Account for evidence of Identity Theft
 - Contact student(s) and/or individual account holder(s)
 - Request additional documentation from the student and/or individual account holder to verify identity
 - Change passwords, security codes and other security devices permitting access to the Covered Account
 - Reopen a Covered Account with a new account number
 - Decline to open a new Covered Account
 - Close an existing Covered Account
 - Notify law enforcement
 - Determine that no response is warranted under the particular circumstances
 - Attempt to identify the cause and source of the Red Flag
 - Take appropriate steps to modify the applicable process to prevent similar activity in the future
 - Notify appropriate UNT personnel accessing records related to the affected account holder that a Red Flag has been detected

IX. Program Administration

A. Staff Training

The following training offered at UNT addresses and helps to prevent Identity Theft:

- 1. Red Flags Training** - Training on Identity Theft prevention developed by the Finance and Administration division is designed to assist UNT departments or units who administer Covered Accounts.

2. **FERPA Training** - All employees requesting access to EIS (Enterprise Information System) are required to have training in the Family Educational Rights and Privacy Act of 1974, as Amended (FERPA).
3. **Information Security Training** - UNT System's IT Shared Services (ITSS) is responsible for the Information Security program, which incorporates an Identity Theft education and awareness component directed towards faculty, staff and students. In addition, training includes methods for detecting and avoiding "social-engineering" techniques (use of inappropriate methods for obtaining protected, sensitive, or confidential information) or phishing scams (a social engineering technique which uses email as a vehicle for obtaining information). Training is offered to faculty and staff online.
4. In addition to the training referenced above, departments and units that administer services related to Covered Accounts should develop and implement plans to effectively train their staff in the identification, detection, prevention and mitigation of the Red Flags identified above that are unique to their specific Covered Accounts. Staff training should be conducted on a regular basis and as necessary under the circumstances related to the administration of the particular Covered Account.

B. Identity Theft Prevention Controls:

The following Identity Theft Prevention controls are in place at UNT and are used to help prevent Identity Theft:

1. **Information Security Handbook for Faculty, Staff, and Students** - ITSS maintains an Information Security handbook that includes information about protecting information resources. Persons who work with financial, medical, academic, or any other sensitive information are required to read the security handbook and become familiar with the policies and guidelines listed within as a continued effort by UNT to prevent Identity Theft, as well as [FERPA](#), [HIPAA](#), [GLBA](#), and [DMCA](#) violations, and [copyright](#) infringement.

2. ***Security Alerts and Notices*** – The Information Security program incorporates a security alert notification component which notifies UNT’s computer support staff when potential threats or risks arise that could cause a negative impact to computing resources or UNT constituents (e.g., students, faculty, and staff). Alerts can be sent via a variety of means which include email notices and call tracking alert systems.
 - Alerts that are directed to faculty and staff are delivered by one of several means which include support from computer support staff or via administrative announcements. The Associate Vice Chancellor and UNT System Chief Information Officer sends security reminders to faculty and staff regarding their responsibilities for protecting UNT’s computer resources and steps to avoid Identity Theft.
 - Alerts that are directed to students are delivered via bulk mail via the student email system.
3. ***Data Security Controls*** - UNT’s critical enterprise computing systems, which house sensitive or confidential data, are protected by strict access controls. Access to these systems (i.e., EIS, Blackboard, MS Office 365, etc.) is provisioned for students, faculty, and staff; however, controls have been established to allow users of the systems to obtain access only to the components and data in which privileges have been granted based on owner defined-controls. Computing access to EIS is removed when employees terminate or retire.
4. ***Software Controls*** - UNT’s enterprise computing systems, which house sensitive data, use encryption to protect data during transmission. In addition, ITSS has data encryption software that allows encryption of sensitive data and helps to prevent unauthorized download or copy of data.
 - UNT has a site-license for anti-virus software which incorporates anti-spyware. Use of the software reduces the threat of viral infections, computer worms, or Trojan horses that could be used to damage computer systems or collect data from computer systems. Installation and use of anti-virus software is mandatory for all UNT computer workstations. It is also available to students and can be used for personal home computer use by faculty and staff as provisioned in the software license.

- UNT computers are required to be patched and kept-up-to-date with the latest applicable upgrades. The majority of applications can be configured to automatically update and patch software applications. In addition, the windows operating system is configured to enable firewall protection that will prevent unauthorized access to workstations.
5. **Network Controls** - UNT employs several network perimeter controls to prevent unauthorized access to UNT's computing resources. Controls include a VPN which requires a user-id and password to access computers or applications on the network, and a firewall that is used to filter against malicious or dangerous traffic.
 6. **Intrusion Detection and Monitoring** - Intrusion detection and prevention systems are in place that detects occurrences of unusual network activity that could be attributed to security threats. These tools are trigger alerts if threats are identified. Upon alert, Information Security team staff investigate to determine if incident handling procedures will be initiated.
 7. **Password Controls** - Password security standards are in place for systems that authenticate against UNT's Account Management System. Standards are in place to ensure that passwords are strong and meet complexity requirements to protect accounts from unauthorized activity.
 8. **Physical Security Controls** - Mandatory Information Security training includes information to assist faculty and staff protect physical resources and data. Protection measures include office and building security, secure use and disposal of confidential documents, and protecting computer equipment and resources.
 9. **Computer System Administration Standards** - Computer System administrators are required to adhere to the system administrator code of ethics, which requires administrators to agree to uphold strict confidentiality and integrity standards when administering computer systems or when they come into contact with data.
 10. **Helpdesk Services** - The UNT Registrar's Office utilize procedures and policies that require mandatory FERPA training prior to obtaining access to any computer system that contains student information. IT Helpdesk staff do not provide personal information to customers. Students who need personal information

from their record are referred to the Registrar's Office. Employees who need personal information from their record are referred to Human Resources.

- Physical security measures are also enabled at the UNT IT Helpdesk. Workstation monitors are not visible from a public vantage point. Customers are never allowed to use workstations that have access to administrative tools. Customer service workstations have limited user rights to help prevent the installation of unwanted programs that may compromise Information Security. Workstations are logged out when not occupied.
- Other protections that are in place at the Helpdesk include installation of antivirus software, restricted administrative access to enterprise computing systems is limited to specific workstations. Helpdesk staff do not ask customers to provide any personal information through email. Helpdesk support requests are received using the IT service management ticketing system

C. Oversight of Service Providers:

The UNT contracts with certain third party providers who receive information related to Covered Accounts or who perform an activity in connection with Covered Accounts. UNT departments and units that maintain Covered Accounts under this Program should take steps necessary to ensure that activities of service providers are conducted in accordance with procedures designed to detect, prevent, and mitigate the risk of Identity Theft. This may include having a written agreement with the third party provider in which the third party provider commits to having a program in place to ensure compliance with the Red Flags Rule.

UNT contracts or agreements with applicable service providers generally include provisions to protect data and information resources. In addition, UNT System and UNT's Business Services units, Student Accounting and University Cashiering Services, and ITSS are working to establish security, network and payment card industry standards for service providers who conduct business that may involve use of protected data. Standards will include requirements provisioned by the Red Flags Rule, payment card industry data security standard (PCI-DSS), UNTS and applicable UNT Information Security regulations and policies, and Texas Department of Information Resources (TX-DIR) Information Security Standards.

D. Reporting:

1. At least annually before the end of the fiscal year, departments and units that maintain Covered Accounts under this Program should report to the Program Administrator, regarding their compliance with this Program. The reporting should address the following elements:
 - The department's or unit's identification of Covered Accounts is accurate and up to date, and the department or unit has developed local processes and procedures for addressing Red Flags associated with the Covered Accounts.
 - The department or unit has conducted the appropriate training for their staff as necessary and has taken the appropriate steps to ensure any service provider activity is conducted appropriately.
 - The department or unit has reported Red Flag occurrences as required.
 - Suggested program updates or changes as applicable to the department or unit.
2. The Program Administrator is responsible for conducting an annual Program assessment as described below and providing an annual report to the Vice President for Finance and Administration.

E. Program Assessment and Update:

This Program will be reviewed annually by the Program Administrator. The review will include a risk assessment of the following factors: changes in the methods of Identity Theft; changes in the method of detection; prevention and mitigation of Identity Theft; changes to the Covered Accounts offered and administered by UNT; additional units or departments that have become responsible for opening or maintaining Covered Accounts; and, the potential Red Flags that may arise with respect to the Covered Accounts.

The annual risk assessment process will also include an assessment of the Program's effectiveness, significant incidents of Identity Theft, and management's responses. The assessment will consider any changes in risks to students and individual account holders of Identity Theft, findings from the annual departmental reports, and the safety and soundness of UNT's identity protection systems. The annual review will include input from the System's Information Security Officer and UNT's Information Security Officer (as applicable). After the risk assessment is conducted, the Program Administrator will recommend updates to the Identity Theft Prevention Program

and the Vice President for Finance and Administration will authorize updates as necessary.

To report a suspected incident of Identity Theft, or if you have questions regarding UNT's Identity Theft Protection Program, please contact the Program Administrator at (940) 565-4142 or 4364.

University of North Texas Health Science Center
Identity Theft Prevention Program

I. Purpose of the Identity Theft Prevention Program

The Federal Trade Commission (“FTC”) requires certain entities, including universities, to adopt an Identity Theft Prevention Program (“Program”) to help prevent Identity Theft. FTC regulations related to Identity Theft prevention are part of the Fair and Accurate Credit Transactions Act and are collectively known as the Red Flags Rule (16 CFR §681). In compliance with the Red Flags Rule, the University of North Texas Health Science Center Program is designed to better assist UNTHSC units and departments in identifying someone who may try to use another individual’s identity to gain access to Covered Accounts at UNTHSC. UNTHSC’s Program is designed to detect, prevent and mitigate Identity Theft in connection with the opening of a Covered Account or any existing Covered Account.

II. Red Flag Rules Overview

The Red Flags Rule requires users of consumer credit reports, certain creditors and certain card issuers to take various steps to protect consumers from Identity Theft.

Users of credit reports must respond to notices of address discrepancies and take reasonable steps to confirm the accuracy of the address it may have.

A creditor must periodically determine, by conducting a risk assessment, whether it offers or maintains Covered Accounts. Upon identifying any Covered Account(s), the creditor is required to develop and implement a written Identity Theft Prevention Program designed to:

- A.** Identify relevant Red Flags for new and existing Covered Accounts and incorporate those Red Flags into the Program;
- B.** Detect Red Flags;
- C.** Respond appropriately to any Red Flags that are detected to prevent and mitigate Identity Theft; and
- D.** Periodically update the program to reflect changes in risks to the account holders or to the safety and soundness of the creditor from Identity Theft.

A card issuer must establish and implement reasonable address verification procedures.

III. **Definitions**

- A. **“Account”** means any continuing financial relationship between UNTHSC and an account holder that permits the account holder to obtain a product or service from UNTHSC. It may involve the extension of credit for the purchase of a product or service, or a deposit account.
- B. **“Covered Account”** is any student, faculty, staff, client or patient account that allows payment to be deferred; permits multiple payments or transactions, such as a loan that is billed or payable monthly; or poses a reasonably foreseeable risk of Identity Theft to consumers or businesses. These include, but are not limited to:
- Participation in Federal Perkins Loan Program
 - Student Emergency Loan Program
 - Payment plans and promissory notes for covered student accounts
 - Payment plans for covered employee accounts, such as parking permit or donations
- C. **“Identity Theft”** is a fraud committed or attempted using the identifying information of another person without authorization.
- D. **“Information Resources”** are the procedures, equipment and software that are employed, designed, built, operated and maintained to collect, record, process, store, retrieve, display, and transmit information, and associated personnel including consultants and contractors.
- E. **“Information Security”** is the protection of information and Information Resources from threats in order to ensure business continuity, minimize business risks, and maximize the ability of the System, System Administration and its Institutions to meet their goals and objectives, Information Security ensures the confidentiality, integrity and availability of Information Resources and information.
- F. **“Personally Identifiable Information”** means any name or number that may be used, alone or in conjunction with other information, to identify an individual, including, but not limited to:
- Name
 - Address
 - Telephone Number
 - Social Security Number

- Date of Birth
- Government Issued Driver's License Number or Identification Number
- Alien Registration Number
- Government Passport Number
- Employer or Taxpayer Identification Number
- Unique Electronic Identification Number
- Computer's Internet Protocol Address or Routing Code
- UNTHSC Assigned Student Identification Number

G. "Red Flags" mean a suspicious pattern, practice or specific activity that indicates the possibility of Identity Theft and that occurs in connection with a Covered Account at UNTHSC.

IV. Program Oversight

At the University of North Texas Health Science Center, the Executive Vice President, Finance and Operations is responsible for oversight of the University's Program. The Chief Compliance Officer is designated as the Program Administrator for the Program and is responsible for developing, implementing, maintaining, and day-to-day operation of the Program. The Program Administrator works with departmental or unit administrators in areas affected by the Red Flags Rule to ensure understanding of and compliance with the Program. The Program Administrator also works in conjunction with the System's Information Security Officer and UNTHSC's Information Security Officer (as applicable) to address Red Flags and Identity Theft issues related to Information Resources and Information Security.

V. Covered Accounts at the University of North Texas Health Science Center

The following UNTHSC units or departments open or administer Covered Accounts and are required to comply with this policy:

- Financial Aid and Scholarships
- Student Accounting Controller's Office
- Parking and Transportation
- Student Affairs (Orientation and Transition Programs)
- Any other department, unit, or office at UNTHSC that opens or administers accounts meeting the definition of Covered Accounts

VI. Identification of Red Flags

In identifying Red Flags related to Covered Accounts and the applicable business procedures, UNTHSC considered the following risk factors: the types of Covered Accounts offered and maintained; the methods provided for opening and accessing each of those accounts; prior experiences with Identity Theft; the size; complexity; nature; and, scope of the institution and its activities. Each of the Red Flags mentioned below may only be applicable to certain Covered Accounts administered by UNTHSC.

A. New Covered Accounts:

Possible Red Flags in connection with the establishment of a new Covered Account may include:

- Address discrepancies
- Presentation of suspicious documents
- Photograph or physical description in the identification document that is not consistent with the appearance of the person presenting the identification
- Personal identifying information that is not consistent with other personal identifying information that is on file with UNTHSC
- Documents provided for identification that appear to have been altered or forged

B. Existing Covered Accounts:

Possible Red Flags in connection with an existing Covered Account may include:

- Unusual or suspicious activity related to a Covered Account
- Notification from account holders, law enforcement, or service providers of unusual activity related to a Covered Account
- Notification of a problem in connection with a Covered Account from an account holder who claims to be the victim of any type of Identity Theft
- Notification from a credit bureau of fraudulent activity regarding a Covered Account
- Challenge questions used to access a Covered Account are answered incorrectly
- A complaint or question from an account holder based on the receipt of:
 - i. Bill for another individual
 - ii. Bill for a product or service the account holder denies receiving
 - iii. Bill for a health care provider that the account holder denies patronizing

- A complaint or question from an account holder about the receipt of a collection notice from a collection agency when the account holder believes there is no debt
- A statement from an account holder that a bill was never received and the address on file is incorrect

C. Computer Accounts:

Possible Red Flags in connection with a computer account that provides access to or is related to a Covered Account may include:

- Unknown activity related to a computer account or computing services
- Repeat calls to applicable Helpdesk to change secret question/secret answer
- Repeat requests to change computing credentials
- Receipt of notices regarding computer accounts or services that an account holder did not authorize
- Log discrepancies
- Social engineering attempts (spam, phishing scams, etc.)
- Unfamiliar user accounts or files
- Modification or deletion of data
- Changes in file or directory permissions

D. Units or departments that administer services for Covered Accounts should identify other relevant Red Flags and incorporate them into this Program.

VII. Red Flag Response:

After detection of a potential Red Flag, the following actions will be taken by UNTHSC departments or units that open or maintain Covered Accounts when appropriate, given the particular Covered Account at issue and the particular circumstances:

- A.** Obtain appropriate personal identifying information (e.g., photo identification, date of birth, academic status, user name and password, address, etc.) from the student or individual account holder, prior to issuing a new or replacement ID card, opening a Covered Account, or allowing access to a Covered Account.
- B.** Provide notification to students and individuals holding a Covered Account when certain changes to that Covered Account are made, to confirm that change was valid and to provide instruction in the event the change is invalid.

- C. Verify suspicious changes made to Covered Accounts that relate to an account holder's identity, administration of the account, and billing and payment information.
- D. Whenever an employee identifies a potential Red Flag, the information must be brought to the attention of the supervisor who will investigate the threat to determine the appropriate response and if there has been a breach. Since timing is critical, incidents must be investigated and responded to promptly and contained as quickly as possible. The Department or Unit head will notify the Program Administrator of the occurrence of any Red Flag, specific responses taken pertaining to the Red Flag and any possible breach of a Covered Account. In the event that Information Resources or Information Security may have been compromised, the Information Security Officer for UNT System Administration (UNTS) shall be notified as well. Additional actions by the Program Administrator or UNTS' Information Security Officer may include notifying and cooperating with the UNTS Office of General Counsel, UNTHSC's Police Department and campus Information Security Officer (as applicable), and other departments as necessary.

VIII. Prevention and Mitigation of Identity Theft

- A. Methods to prevent Identity Theft may include, but are not limited to the following actions:
 - Requiring each Covered Account Holder to provide photo identification at each "in person" encounter.
 - Requiring multi-factor identification before conducting any transaction over the phone with the Covered Account Holder relating to a Covered Account.
 - Requiring an on-line transaction to come through a secure, password protected portal or password protected e-mail account.
 - Following up on each billing inquiry from a Covered Account Holder when the Covered Account Holder complains of suspicious activity.
- B. Applicable units or departments should incorporate processes and procedures that address the detection of Red Flags in connection with the opening of Covered Accounts and existing accounts.
- C. In addition to the efforts noted above to detect Identity Theft, UNTHSC personnel involved in the administration of the Covered Accounts will take the following steps,

where appropriate and based upon the particular circumstances, to prevent and mitigate occurrences of Identity Theft when a Red Flag is detected:

- Monitor a Covered Account for evidence of Identity Theft
- Contact student(s) and/or individual account holder(s)
- Request additional documentation from the student and/or individual account holder to verify identity
- Change passwords, security codes and other security devices permitting access to the Covered Account
- Reopen a Covered Account with a new account number
- Decline to open a new Covered Account
- Close an existing Covered Account
- Notify law enforcement
- Determine that no response is warranted under the particular circumstances
- Attempt to identify the cause and source of the Red Flag
- Take appropriate steps to modify the applicable process to prevent similar activity in the future
- Notify appropriate UNTHSC personnel accessing records related to the affected account holder that a Red Flag has been detected

IX. Program Administration

A. Staff Training

The following training offered at UNTHSC addresses and helps to prevent Identity Theft:

- 1. Red Flags Training** - Training on Identity Theft prevention developed by the Office of Compliance, in coordination with the Finance and Operations division is designed to assist UNTHSC departments or units who administer Covered Accounts.
- 2. FERPA Training** - All employees requesting access to EIS (Enterprise Information System) are required to have training in the Family Educational Rights and Privacy Act of 1974, as Amended (FERPA).
- 3. Information Security Training** - UNTHSC Information Security is responsible for the Information Security program, which incorporates an Identity Theft education and awareness component directed towards faculty, staff and

students. In addition, training includes methods for detecting and avoiding “social-engineering” techniques (use of inappropriate methods for obtaining protected, sensitive, or confidential information) or phishing scams (a social engineering technique which uses email as a vehicle for obtaining information). Training is offered to faculty and staff online.

4. In addition to the training referenced above, departments and units that administer services related to Covered Accounts should develop and implement plans to effectively train their staff in the identification, detection, prevention and mitigation of the Red Flags identified above that are unique to their specific Covered Accounts. Staff training should be conducted on a regular basis and as necessary under the circumstances related to the administration of the particular Covered Account.

B. Identity Theft Prevention Controls:

The following Identity Theft Prevention controls are in place at UNTHSC and are used to help prevent Identity Theft:

1. **Information Security Handbook for Faculty, Staff, and Students** - ITSS maintains an Information Security handbook that includes information about protecting information resources. Persons who work with financial, medical, academic, or any other sensitive information are required to read the security handbook and become familiar with the policies and guidelines listed within as a continued effort by UNTHSC to prevent Identity Theft, as well as [FERPA](#), [HIPAA](#), [GLBA](#), and [DMCA](#) violations, and [copyright](#) infringement.
2. **Security Alerts and Notices** – The Information Security program incorporates a security alert notification component which notifies UNTHSC’s computer support staff when potential threats or risks arise that could cause a negative impact to computing resources or UNTHSC constituents (e.g., students, faculty, and staff). Alerts can be sent via a variety of means which include email notices and call tracking alert systems.
 - Alerts that are directed to faculty and staff are delivered by one of several means which include support from computer support staff or via administrative announcements. The Associate Vice Chancellor and UNT System Chief Information Officer and campus ISO sends security reminders

to faculty and staff regarding their responsibilities for protecting UNTHSC's computer resources and steps to avoid Identity Theft.

- Alerts that are directed to students are delivered via bulk mail via the student email system.
3. **Data Security Controls** - UNTHSC's critical enterprise computing systems, which house sensitive or confidential data, are protected by strict access controls. Access to these systems (i.e., EIS, Blackboard, MS Office 365, etc.) is provisioned for students, faculty, and staff; however, controls have been established to allow users of the systems to obtain access only to the components and data in which privileges have been granted based on owner defined-controls. Computing access to EIS is removed when employees terminate or retire.
 4. **Software Controls** - UNTHSC's enterprise computing systems, which house sensitive data, use encryption to protect data during transmission. In addition, ITSS has data encryption software that allows encryption of sensitive data and helps to prevent unauthorized download or copy of data.
 - UNTHSC has a site-license for anti-virus software which incorporates anti-spyware. Use of the software reduces the threat of viral infections, computer worms, or Trojan horses that could be used to damage computer systems or collect data from computer systems. Installation and use of anti-virus software is mandatory for all UNTHSC computer workstations. It is also available to students and can be used for personal home computer use by faculty and staff as provisioned in the software license.
 - UNTHSC computers are required to be patched and kept-up-to-date with the latest applicable upgrades. The majority of applications can be configured to automatically update and patch software applications. In addition, the windows operating system is configured to enable firewall protection that will prevent unauthorized access to workstations.
 5. **Network Controls** - UNTHSC employs several network perimeter controls to prevent unauthorized access to UNTHSC's computing resources. Controls include a VPN which requires a user-id and password to access computers or

applications on the network, and a firewall that is used to filter against malicious or dangerous traffic.

6. ***Intrusion Detection and Monitoring*** - Intrusion detection and prevention systems are in place that detects occurrences of unusual network activity that could be attributed to security threats. These tools are trigger alerts if threats are identified. Upon alert, Information Security team staff investigate to determine if incident handling procedures will be initiated.
7. ***Password Controls*** - Password security standards are in place for systems that authenticate against UNTHSC's Account Management System. Standards are in place to ensure that passwords are strong and meet complexity requirements to protect accounts from unauthorized activity.
8. ***Physical Security Controls*** - Mandatory Information Security training includes information to assist faculty and staff protect physical resources and data. Protection measures include office and building security, secure use and disposal of confidential documents, and protecting computer equipment and resources.
9. ***Computer System Administration Standards*** - Computer System administrators are required to adhere to the system administrator code of ethics, which requires administrators to agree to uphold strict confidentiality and integrity standards when administering computer systems or when they come into contact with data.
10. ***Helpdesk Services*** - The UNTHSC Registrar's Office utilize procedures and policies that require mandatory FERPA training prior to obtaining access to any computer system that contains student information. IT Helpdesk staff do not provide personal information to customers. Students who need personal information from their record are referred to the Registrar's Office. Employees who need personal information from their record are referred to Human Resources.
 - Physical security measures are also enabled at the UNTHSC IT Helpdesk. Workstation monitors are not visible from a public vantage point. Customers are never allowed to use workstations that have access to administrative tools. Customer service workstations have limited user rights to help prevent the installation of unwanted programs that may compromise Information Security. Workstations are logged out when not occupied.

- Other protections that are in place at the Helpdesk include installation of antivirus software, restricted administrative access to enterprise computing systems is limited to specific workstations. Helpdesk staff do not ask customers to provide any personal information through email. Helpdesk support requests are received using the IT service management ticketing system

C. Oversight of Service Providers:

The UNTHSC contracts with certain third party providers who receive information related to Covered Accounts or who perform an activity in connection with Covered Accounts. UNTHSC departments and units that maintain Covered Accounts under this Program should take steps necessary to ensure that activities of service providers are conducted in accordance with procedures designed to detect, prevent, and mitigate the risk of Identity Theft. This may include having a written agreement with the third party provider in which the third party provider commits to having a program in place to ensure compliance with the Red Flags Rule.

UNTHSC contracts or agreements with applicable service providers generally include provisions to protect data and information resources. In addition, UNT System and UNTHSC's Business Services units, Student Accounting Information Security are working to establish security, network and payment card industry standards for service providers who conduct business that may involve use of protected data. Standards will include requirements provisioned by the Red Flags Rule, payment card industry data security standard (PCI-DSS), UNTS and applicable UNTHSC Information Security regulations and policies, and Texas Department of Information Resources (TX-DIR) Information Security Standards.

D. Reporting:

1. At least annually before the end of the fiscal year, departments and units that maintain Covered Accounts under this Program should report to the Program Administrator, regarding their compliance with this Program. The reporting should address the following elements:
 - The department's or unit's identification of Covered Accounts is accurate and up to date, and the department or unit has developed local processes and procedures for addressing Red Flags associated with the Covered Accounts.

- The department or unit has conducted the appropriate training for their staff as necessary and has taken the appropriate steps to ensure any service provider activity is conducted appropriately.
 - The department or unit has reported Red Flag occurrences as required.
 - Suggested program updates or changes as applicable to the department or unit.
2. The Program Administrator is responsible for conducting an annual Program assessment as described below and providing an annual report to the Executive Vice President, Finance and Operations.

E. Program Assessment and Update:

This Program will be reviewed annually by the Program Administrator. The review will include a risk assessment of the following factors: changes in the methods of Identity Theft; changes in the method of detection; prevention and mitigation of Identity Theft; changes to the Covered Accounts offered and administered by UNTHSC; additional units or departments that have become responsible for opening or maintaining Covered Accounts; and, the potential Red Flags that may arise with respect to the Covered Accounts.

The annual risk assessment process will also include an assessment of the Program's effectiveness, significant incidents of Identity Theft, and management's responses. The assessment will consider any changes in risks to students and individual account holders of Identity Theft, findings from the annual departmental reports, and the safety and soundness of UNTHSC's identity protection systems. The annual review will include input from the System's Information Security Officer and UNTHSCs Information Security Officer. After the risk assessment is conducted, the Program Administrator will recommend updates to the Identity Theft Prevention Program and the Executive Vice President, Finance and Operations will authorize updates as necessary.

To report a suspected incident of Identity Theft, or if you have questions regarding UNTHSCs Identity Theft Protection Program, please contact the Program Administrator at (817) 735-5131.

University of North Texas at Dallas
Identity Theft Prevention Program

I. Purpose of the Identity Theft Prevention Program

The Federal Trade Commission (“FTC”) requires certain entities, including universities, to adopt an Identity Theft Prevention Program (“Program”) to help prevent Identity Theft. FTC regulations related to Identity Theft prevention are part of the Fair and Accurate Credit Transactions Act and are collectively known as the Red Flags Rule (16 CFR §681). In compliance with the Red Flags Rule, the University of North Texas at Dallas’ (UNT) Program is designed to better assist UNT units and departments in identifying someone who may try to use another individual’s identity to gain access to Covered Accounts at UNT. UNT’s Program is designed to detect, prevent and mitigate Identity Theft in connection with the opening of a Covered Account or any existing Covered Account.

II. Red Flag Rules Overview

The Red Flags Rule requires users of consumer credit reports, certain creditors and certain card issuers to take various steps to protect consumers from Identity Theft.

Users of credit reports must respond to notices of address discrepancies and take reasonable steps to confirm the accuracy of the address it may have.

A creditor must periodically determine, by conducting a risk assessment, whether it offers or maintains Covered Accounts. Upon identifying any Covered Account(s), the creditor is required to develop and implement a written Identity Theft Prevention Program designed to:

- A.** Identify relevant Red Flags for new and existing Covered Accounts and incorporate those Red Flags into the Program;
- B.** Detect Red Flags;
- C.** Respond appropriately to any Red Flags that are detected to prevent and mitigate Identity Theft; and
- D.** Periodically update the program to reflect changes in risks to the account holders or to the safety and soundness of the creditor from Identity Theft.

A card issuer must establish and implement reasonable address verification procedures.

III. **Definitions**

- A. **“Account”** means any continuing financial relationship between UNTD and an account holder that permits the account holder to obtain a product or service from UNTD. It may involve the extension of credit for the purchase of a product or service, or a deposit account.
- B. **“Covered Account”** is any student, faculty, staff, client or patient account that allows payment to be deferred; permits multiple payments or transactions, such as a loan that is billed or payable monthly; or poses a reasonably foreseeable risk of Identity Theft to consumers or businesses. These include, but are not limited to:
- Participation in Federal Perkins Loan Program
 - Student Emergency Loan Program
 - Payment plans and promissory notes for covered student accounts
 - Payment plans for covered employee accounts, such as parking permit or donations
- C. **“Identity Theft”** is a fraud committed or attempted using the identifying information of another person without authorization.
- D. **“Information Resources”** are the procedures, equipment and software that are employed, designed, built, operated and maintained to collect, record, process, store, retrieve, display, and transmit information, and associated personnel including consultants and contractors.
- E. **“Information Security”** is the protection of information and Information Resources from threats in order to ensure business continuity, minimize business risks, and maximize the ability of the System, System Administration and its Institutions to meet their goals and objectives. Information Security ensures the confidentiality, integrity and availability of Information Resources and information.
- F. **“Personally Identifiable Information”** means any name or number that may be used, alone or in conjunction with other information, to identify an individual, including, but not limited to:
- Name
 - Address
 - Telephone Number
 - Social Security Number

- Date of Birth
- Government Issued Driver's License Number or Identification Number
- Alien Registration Number
- Government Passport Number
- Employer or Taxpayer Identification Number
- Unique Electronic Identification Number
- Computer's Internet Protocol Address or Routing Code
- UNTD Assigned Student Identification Number

G. "Red Flags" mean a suspicious pattern, practice or specific activity that indicates the possibility of Identity Theft and that occurs in connection with a Covered Account at UNTD.

IV. Program Oversight

At the University of North Texas at Dallas, the Vice President for Finance and Administration is responsible for oversight of the University's Program. The Director of Institutional Compliance is designated as the Program Administrator for the Program and is responsible for developing, implementing, maintaining, and day-to-day operation of the Program. The Program Administrator works with departmental or unit administrators in areas affected by the Red Flags Rule to ensure understanding of and compliance with the Program. The Program Administrator also works in conjunction with the System's Information Security Officer and UNTD's Information Security Officer (as applicable) to address Red Flags and Identity Theft issues related to Information Resources and Information Security.

V. Covered Accounts at the University of North Texas at Dallas

The following UNTD units or departments open or administer Covered Accounts and are required to comply with this policy:

- Advancement
- Athletics
- College of Law
- Community Counseling Clinic
- Controller's Office
- Facilities
- Financial Aid and Scholarships

- Lab for Counseling Program
- Leadership Office & Multicultural Programming
- Parking and Transportation
- Registrar's Office
- Residence Hall Dining
- Residence Life
- Student Accounting and Cashiering Services
- Student Services (Orientation and Transition Programs)
- UNT Dallas Police
- Veteran's Success Center
- Any other department, unit, or office at UNTD that opens or administers accounts meeting the definition of Covered Accounts

VI. Identification of Red Flags

In identifying Red Flags related to Covered Accounts and applicable business procedures, UNTD considered the following risk factors: the types of Covered Accounts offered and maintained; the methods provided for opening and accessing each of those accounts; prior experiences with Identity Theft; the size; complexity; nature; and, scope of the institution and its activities. Each of the Red Flags mentioned below may only be applicable to certain Covered Accounts administered by UNTD.

A. New Covered Accounts:

Possible Red Flags in connection with the establishment of a new Covered Account may include:

- Address discrepancies
- Presentation of suspicious documents
- Photograph or physical description in the identification document that is not consistent with the appearance of the person presenting the identification
- Personal identifying information that is not consistent with other personal identifying information that is on file with UNTD
- Documents provided for identification that appear to have been altered or forged

B. Existing Covered Accounts:

Possible Red Flags in connection with an existing Covered Account may include:

- Unusual or suspicious activity related to a Covered Account

- Notification from account holders, law enforcement, or service providers of unusual activity related to a Covered Account
- Notification of a problem in connection with a Covered Account from an account holder who claims to be the victim of any type of Identity Theft
- Notification from a credit bureau of fraudulent activity regarding a Covered Account
- Challenge questions used to access a Covered Account are answered incorrectly
- A complaint or question from an account holder based on the receipt of:
 - i. Bill for another individual
 - ii. Bill for a product or service the account holder denies receiving
 - iii. Bill for a health care provider that the account holder denies patronizing
- A complaint or question from an account holder about the receipt of a collection notice from a collection agency when the account holder believes there is no debt
- A statement from an account holder that a bill was never received and the address on file is incorrect

C. Computer Accounts:

Possible Red Flags in connection with a computer account that provides access to or is related to a Covered Account may include:

- Unknown activity related to a computer account or computing services
- Repeat calls to applicable Service Desk to change secret question/secret answer
- Repeat requests to change computing credentials
- Receipt of notices regarding computer accounts or services that an account holder did not authorize
- Log discrepancies
- Social engineering attempts (spam, phishing scams, etc.)
- Unfamiliar user accounts or files
- Modification or deletion of data
- Changes in file or directory permissions

- D.** Units or departments that administer services for Covered Accounts should identify other relevant Red Flags and incorporate them into this Program.

VII. *Red Flag Response:*

After detection of a potential Red Flag, the following actions will be taken by UNTD departments or units that open or maintain Covered Accounts when appropriate, given the particular Covered Account at issue and the particular circumstances:

- A.** Obtain appropriate personal identifying information (e.g., photo identification, date of birth, academic status, user name and password, address, etc.) from the student or individual account holder, prior to issuing a new or replacement ID card, opening a Covered Account, or allowing access to a Covered Account
- B.** Provide notification to students and individuals holding a Covered Account when certain changes to a Covered Account are made, to confirm that change was valid and to provide instruction in the event the change is invalid.
- C.** Verify suspicious changes made to Covered Accounts that relate to an account holder's identity, administration of the account, and billing and payment information.
- D.** Whenever an employee identifies a potential Red Flag, the information must be brought to the attention of the supervisor who will investigate the threat to determine the appropriate response and if there has been a breach. Since timing is critical, incidents must be investigated and responded to promptly and contained as quickly as possible. The Department or Unit head will notify the Program Administrator of the occurrence of any Red Flag, specific responses taken pertaining to the Red Flag and any possible breach of a Covered Account. In the event that Information Resources or Information Security may have been compromised, the Information Security Officer for UNT System Administration (UNTS) shall be notified as well. Additional actions by the Program Administrator or UNTS' Information Security Officer may include notifying and cooperating with the UNTS Office of General Counsel, the UNTD Police Department, and campus Information Security Officer (as applicable), and other departments as necessary.

VIII. *Prevention and Mitigation of Identity Theft*

- A.** Methods to prevent Identity Theft may include, but are not limited to the following actions:
 - Requiring each Covered Account Holder to provide photo identification at each "in person" encounter.

- Requiring multi-factor identification before conducting any transaction over the phone with the Covered Account Holder relating to a Covered Account.
 - Requiring an on-line transaction to come through a secure, password protected portal or password protected e-mail account.
 - Following up on each billing inquiry from a Covered Account Holder when the Covered Account Holder complains of suspicious activity.
- B.** Applicable units or departments should incorporate processes and procedures that address the detection of Red Flags in connection with the opening of Covered Accounts and existing accounts.
- C.** In addition to the efforts noted above to detect Identity Theft, UNTD personnel involved in the administration of the Covered Accounts will take the following steps, where appropriate and based upon the particular circumstances, to prevent and mitigate occurrences of Identity Theft when a Red Flag is detected:
- Monitor a Covered Account for evidence of Identity Theft
 - Contact student(s) and/or individual account holder(s)
 - Request additional documentation from the student and/or individual account holder to verify identity
 - Change passwords, security codes and other security devices permitting access to the Covered Account
 - Reopen a Covered Account with a new account number
 - Decline to open a new Covered Account
 - Close an existing Covered Account
 - Notify law enforcement
 - Determine that no response is warranted under the particular circumstances
 - Attempt to identify the cause and source of the Red Flag
 - Take appropriate steps to modify the applicable process to prevent similar activity in the future
 - Notify appropriate UNTD personnel accessing records related to the affected account holder that a Red Flag has been detected

IX. Program Administration

A. Staff Training

The following staff related training offered at UNTD addresses and helps to prevent Identity Theft:

- 1. Red Flags Training** - Training on Identity Theft prevention developed by the Program Administrator's office is designed to assist UNTD departments or units who administer Covered Accounts.
- 2. FERPA Training** - All employees requesting access to EIS (Enterprise Information System) are required to have training in the Family Educational Rights and Privacy Act of 1974, as Amended (FERPA).
- 3. Information Security Training** - UNT System's IT Shared Services (ITSS) is responsible for the Information Security program, which incorporates an Identity Theft education and awareness component directed towards faculty, staff and students. In addition, training includes methods for detecting and avoiding "social-engineering" techniques (use of inappropriate methods for obtaining protected, sensitive, or confidential information) or phishing scams (a social engineering technique which uses email as a vehicle for obtaining information). Training is offered to faculty and staff online.
- 4.** In addition to the training referenced above, departments and units that administer services related to Covered Accounts should develop and implement plans to effectively train their staff in the identification, detection, prevention and mitigation of the Red Flags identified above that are unique to their specific Covered Accounts. Staff training should be conducted on a regular basis and as necessary under the circumstances related to the administration of the particular Covered Account.

B. Identity Theft Prevention Controls:

The following Identity Theft Prevention controls are in place at UNTD and are used to help prevent Identity Theft:

- 1. UNTS Information Security Handbook for Faculty, Staff, and Students** - ITSS maintains an Information Security handbook that includes information about protecting information resources. Persons who work with financial, medical, academic, or any other sensitive information are required to read the security handbook and become familiar with the policies and guidelines listed within as a

continued effort by UNTD to prevent Identity Theft, as well as [FERPA](#), [HIPAA](#), [GLBA](#), and [DMCA](#) violations, and [copyright](#) infringement.

2. **Security Alerts and Notices** – The Information Security program incorporates a security alert notification component which notifies UNTD’s computer support staff when potential threats or risks arise that could cause a negative impact to computing resources or UNTD constituents (e.g., students, faculty, and staff). Alerts can be sent via a variety of means which include email notices and call tracking alert systems.
 - Alerts that are directed to faculty and staff are delivered by one of several means which include support from computer support staff or via administrative announcements. The Associate Vice Chancellor and UNT System Chief Information Officer sends security reminders to faculty and staff regarding their responsibilities for protecting UNTD’s computer resources and steps to avoid Identity Theft.
 - Alerts that are directed to students are delivered via bulk mail via the student email system.
3. **Data Security Controls** - UNTD’s critical enterprise computing systems, which house sensitive or confidential data, are protected by strict access controls. Access to these systems (i.e., EIS, Blackboard, MS Office 365, etc.) is provisioned for students, faculty, and staff; however, controls have been established to allow users of the systems to obtain access only to the components and data in which privileges have been granted based on owner defined-controls. Computing access to EIS is removed when employees terminate or retire.
4. **Software Controls** - UNTD’s enterprise computing systems, which house sensitive data, use encryption to protect data during transmission. In addition, ITSS has data encryption software that allows encryption of sensitive data and helps to prevent unauthorized download or copy of data.
 - UNTD has a site-license for anti-virus software which incorporates anti-spyware. Use of the software reduces the threat of viral infections, computer worms, or Trojan horses that could be used to damage computer systems or collect data from computer systems. Installation and use of anti-virus software is mandatory for all UNTD computer workstations. It is also

available to students and can be used for personal home computer use by faculty and staff as provisioned in the software license.

- UNTD computers are required to be patched and kept-up-to-date with the latest applicable upgrades. The majority of applications can be configured to automatically update and patch software applications. In addition, the windows operating system is configured to enable firewall protection that will prevent unauthorized access to workstations.
5. **Network Controls** - UNTD employs several network perimeter controls to prevent unauthorized access to UNTD's computing resources. Controls include a VPN which requires a user-id and password to access computers or applications on the network, and a firewall that is used to filter against malicious or dangerous traffic.
 6. **Intrusion Detection and Monitoring** - Intrusion detection and prevention systems are in place that detects occurrences of unusual network activity that could be attributed to security threats. These tools are trigger alerts if threats are identified. Upon alert, Information Security team staff investigate to determine if incident handling procedures will be initiated.
 7. **Password Controls** - Password security standards are in place for systems that authenticate against UNTD's Account Management System. Standards are in place to ensure that passwords are strong and meet complexity requirements to protect accounts from unauthorized activity.
 8. **Physical Security Controls** - Mandatory Information Security training includes information to assist faculty and staff protect physical resources and data. Protection measures include office and building security, secure use and disposal of confidential documents, and protecting computer equipment and resources.
 9. **Computer System Administration Standards** - Computer System administrators are required to adhere to the system administrator code of ethics, which requires administrators to agree to uphold strict confidentiality and integrity standards when administering computer systems or when they come into contact with data.

10. Service Desk - The UNTD Registrar's Office utilize procedures and policies that require mandatory FERPA training prior to obtaining access to any computer system that contains student information. UNT System IT Service Desk staff do not provide personal information to customers. Students who need personal information from their record are referred to the Registrar's Office. Employees who need personal information from their record are referred to Human Resources.

- Physical security measures are also enabled at the UNTS IT Service Desk. Workstation monitors are not visible from a public vantage point. Customers are never allowed to use workstations that have access to administrative tools. Customer service workstations have limited user rights to help prevent the installation of unwanted programs that may compromise Information Security. Workstations are logged out when not occupied.
- Other protections that are in place at the UNTS IT Service Desk include installation of antivirus software, restricted administrative access to enterprise computing systems is limited to specific workstations. UNTS IT Service Desk staff do not ask customers to provide any personal information through email. Service Desk support requests are received using the IT service management ticketing system.

C. Oversight of Service Providers:

The UNTD contracts with certain third party providers who receive information related to Covered Accounts or who perform an activity in connection with Covered Accounts. UNTD departments and units that maintain Covered Accounts under this Program should take steps necessary to ensure that activities of service providers are conducted in accordance with procedures designed to detect, prevent, and mitigate the risk of Identity Theft. This may include having a written agreement with the third party provider in which the third party provider commits to having a program in place to ensure compliance with the Red Flags Rule.

UNTD contracts or agreements with applicable service providers generally include provisions to protect data and information resources. In addition, UNT System and UNTD's Business Services units, Student Accounting and Cashiering Services, and ITSS are working to establish security, network and payment card industry standards for service providers who conduct business that may involve use of protected data.

Standards will include requirements provisioned by the Red Flags Rule, payment card industry data security standard (PCI-DSS), UNTS and applicable UNTD Information Security regulations and policies, and Texas Department of Information Resources (TX-DIR) Information Security Standards.

D. Reporting:

1. At least annually before the end of the fiscal year, departments and units that maintain Covered Accounts under this Program should report to the Program Administrator, regarding their compliance with this Program. The reporting should address the following elements:
 - The department's or unit's identification of Covered Accounts is accurate and up to date, and the department or unit has developed local processes and procedures for addressing Red Flags associated with the Covered Accounts.
 - The department or unit has conducted the appropriate training for their staff as necessary and has taken the appropriate steps to ensure any service provider activity is conducted appropriately.
 - The department or unit has reported Red Flag occurrences as required.
 - Suggested program updates or changes as applicable to the department or unit.
2. The Program Administrator is responsible for conducting an annual Program assessment as described below and providing an annual report to the Vice President for Finance and Administration.

E. Program Assessment and Update:

This Program will be reviewed annually by the Program Administrator. The review will include a risk assessment of the following factors: changes in the methods of Identity Theft; changes in the method of detection; prevention and mitigation of Identity Theft; changes to the Covered Accounts offered and administered by UNTD; additional units or departments that have become responsible for opening or maintaining Covered Accounts; and, the potential Red Flags that may arise with respect to the Covered Accounts.

The annual risk assessment process will also include an assessment of the Program's effectiveness, significant incidents of Identity Theft, and management's responses. The assessment will consider any changes in risks to students and individual account

holders of Identity Theft, findings from the annual departmental reports, and the safety and soundness of UNTD's identity protection systems.

The annual review will include input from the System's Information Security Officer and UNTD's Information Security Officer (as applicable). After the risk assessment is conducted, the Program Administrator will recommend updates to the Identity Theft Prevention Program and the Vice President for Finance and Administration will authorize updates as necessary.

To report a suspected incident of Identity Theft, or if you have questions regarding UNTD's Identity Theft Protection Program, please contact the Program Administrator's office at (940) 565-4142 or 4364.



Title: Authorization of UNT Electric Utility Planning

Background:

Campus utility planning is critical to the successful implementation of the 2013 UNT Campus Master Plan and ongoing campus development. Electric utility planning, specifically, supports continued campus growth and the development of new facilities.

The campus (with approval of BOR) entered a power purchase agreement with DME (December 10, 2013). In addition to multi-year rate stabilization, this agreement also provides for approaches for infrastructure development including substation and transmission line upgrades. A new substation to provide additional load capacity and redundancy for the campus will be located adjacent to campus at Eagle and Bernard. The upgrading of the existing transmission lines which will connect to this new substation is also provided for in the power purchase agreement.

The approach and details for the transmission lines on the Maple St. corridor across the campus will have a long term impact on the campus. Planning staff have begun discussions with DME on main project parameters; however, a comprehensive study is warranted to evaluate options for routing, location and other pertinent details for the required transmission facilities.

Financial Analysis/History:

The Power Purchase agreement identifies the transmission line base costs to be borne by DME and cost sharing for other discretionary costs to borne either on a shared basis or directly by the campus depending on specifics of the proposal. A further detailed study will provide the financial analysis impacts to determine the appropriate course.

Bob Brown

Digitally signed by Bob Brown
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for Finance and Administration,
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Date: 2017.08.07 09:24:43 -0500

Institution Chief Financial Officer

Janet Waldron

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Date: 2017.08.07 18:16:53 -0500

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

**Nancy S.
Footer**

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General Counsel,
email=nancy.footer@untsystem.edu,
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Date: 2017.08.08 16:19:28 -0500

Vice Chancellor/General Counsel

Schedule:

Design and Route Study: 6 months
Construction: Currently anticipated to take place 2019 – 2020
Financing: Current agreement calls for ten-year capital financing, we will explore options for longer repayment methods

Recommendation:

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

Recommended By:

James M. Maguire
Vice Chancellor, Facilities Planning &
Construction

Neal
Smatresk
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President

James M. Maguire
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Planning and Construction, ou=UNT System,
email=james.maguire@untssystem.edu, c=US
Date: 2017.08.08 17:20:35 -05'00'
Vice Chancellor

Lee Jackson
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ou=Office of the Chancellor,
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Date: 2017.08.09 09:38:22 -05'00'
Chancellor

Attachments Filed Electronically:

- UNT Electric Utility Planning



Board Order

Title: Authorization of UNT Electric Utility Planning

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

Whereas, the 2013 UNT Campus Master Plan identifies campus utility infrastructure as the vital underpinning for all campus development, and

Whereas, the 2013 UNT Campus Master Plan recognizes the aesthetic impact of overhead high voltage lines on campus corridors, and

Whereas, the 2013 UNT Campus Master Plan recommends further analysis be conducted on the feasibility of routing and burying utility infrastructure, and

Whereas, the Power Purchase agreements outlines basic approaches, and

Whereas, current discussions have identified multiple options,

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

1. The Board of Regents expresses its desire that major transmission lines currently existing in the Maple Street area should be studied for relocation or burial in order to enhance the quality of life in a central residential area of campus and its view corridor of the campus core.
2. The Vice Chancellor for Facilities Planning & Construction and Chief Architect to conduct further study on utility infrastructure type, routes, and location options to support campus development and enhance the aesthetic for campus view corridors, including contracting with appropriate engineering design consultants and appropriate coordination with DME .
3. The Vice Chancellor for Facilities Planning & Construction and Chief Architect to report and recommend any needed Board actions at the May 2018 meeting; including preferred approach and preliminary financial analysis.
4. Report will evaluate the feasibility of alternate financing schedules for the improvements to minimize impact on current student costs, ensure future students experience and contribute to the improvements, and align UNT with peer institutions.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

UNT Electric Utility Planning

UNT System Board of Regents

Presented by:

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

August 17-18, 2017

Maple Street Options

Existing Condition



Maple Street Options

Existing Condition



Reduce and Replace Poles



Maple Street Options

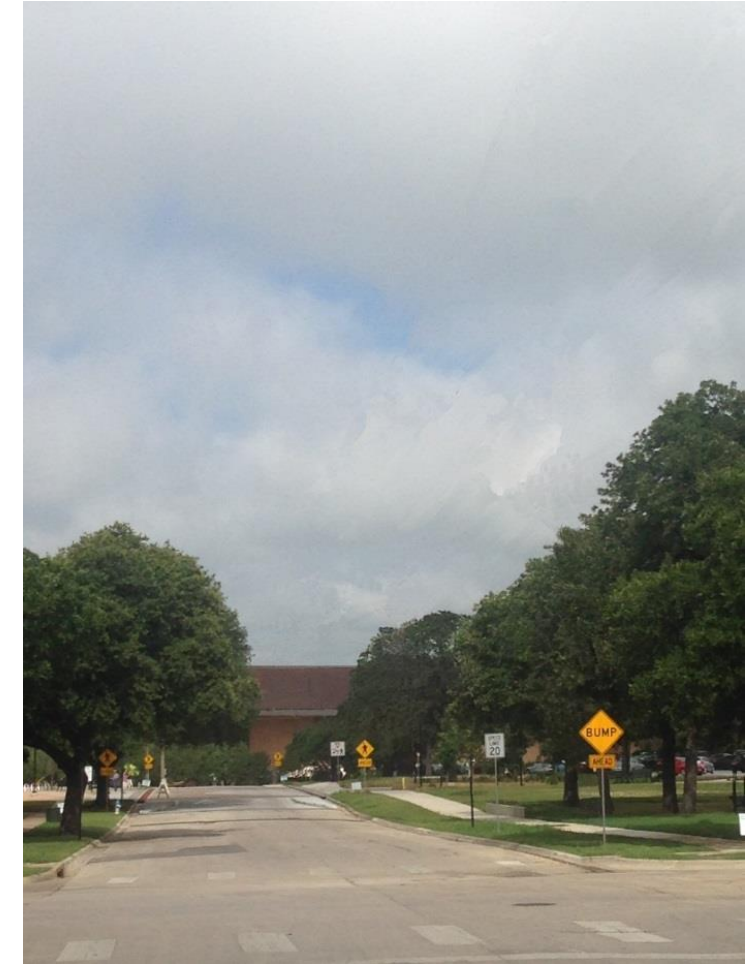
Existing Condition



Reduce and Replace Poles



Re-route or Bury lines



Peer Institution Comparison



UT Dallas, July 2017

No overhead lines throughout campus core

UT Dallas

UT Arlington

Texas Women's University

Current Transmission Line



NO.	DATE	DESCRIPTION OF REVISION

PRELIMINARY V01

Existing TM Poles w Distr & Comms thru Campus

PROJECT: CITY OF DENTON
**HICKORY TO LOCUST
 138KV TRANSMISSION LINE**
 DENTON, TEXAS

SGS
ENGINEERING

LUBBOCK, TX DALLAS, TX SAN ANTONIO, TX
 MICHAEL McDONALD, P.E. TX REG. NO. 52954

EJO NO. DENTON 31
 DATE: 5/09/17
 UPDATED BY: MGM
 CHECKED BY: RDP
 SHEET # 1 OF 3
 SCALE: 1" = 150 FT
 DWG NAME: HICKORY-LOCUST

Pole Reduction Option



NO.	DATE	DESCRIPTION OF REVISION

PRELIMINARY V03

Reduced TM Only Poles through UNT Campus

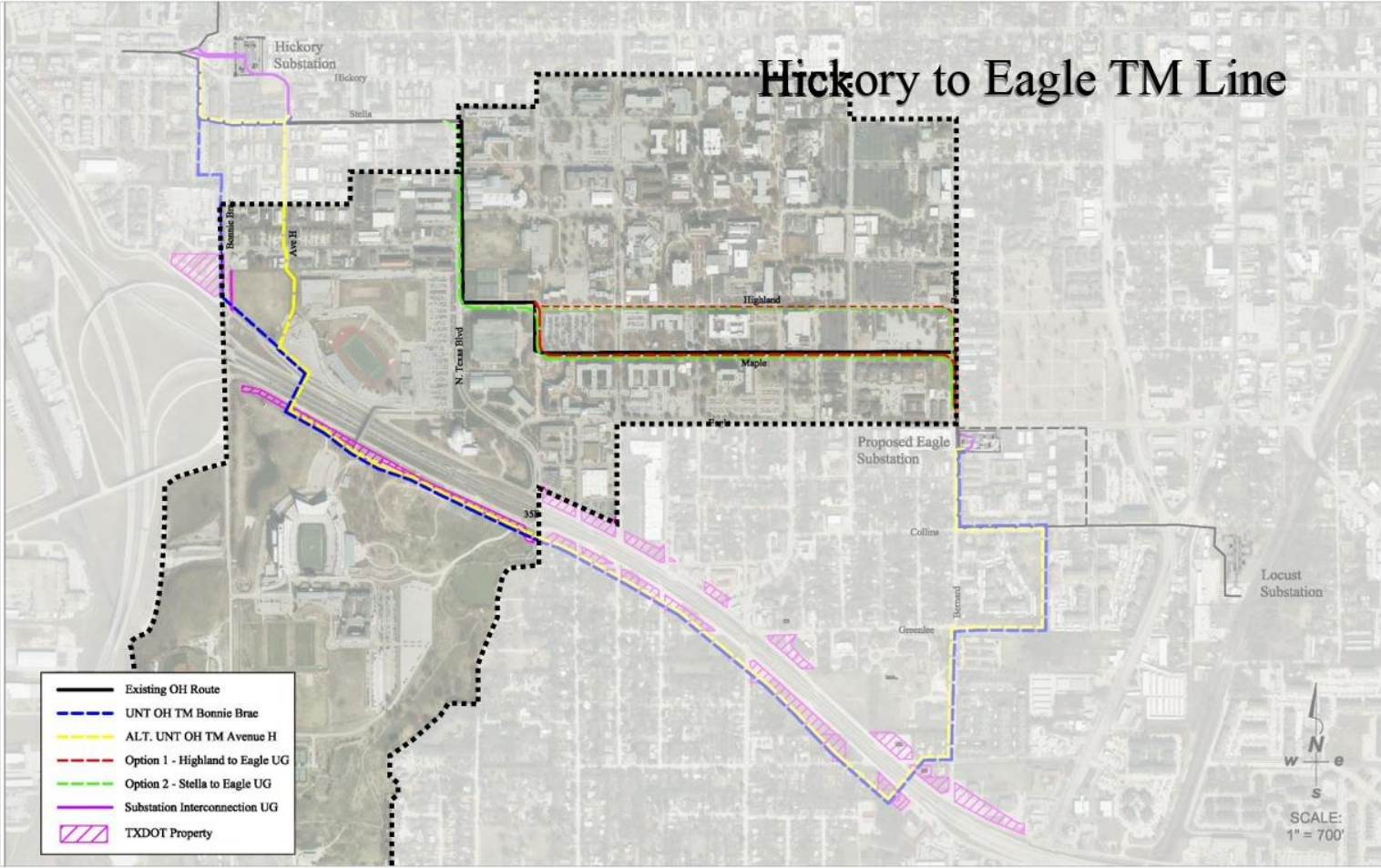
PROJECT: CITY OF DENTON
**HICKORY TO LOCUST
 138KV TRANSMISSION LINE**
 DENTON, TEXAS

SGS
 ENGINEERING

WICHITA FALLS, TEXAS DALLAS, TEXAS SAN ANTONIO, TEXAS
 MICHAEL W. DONOFRIO, P.E. LICENSE NO. 13369 EXPIRES 08/31/2018

EIG NO: DENTON 31
 DATE: 5/08/17
 UPDATED BY: MGM
 CHECKED BY: RDP
 SHEET # 3 OF 3
 SCALE: 1" = 150 FT
 DWG NAME: HICKORY LOCUST

Overall Grid



Hickory to Eagle Transmission Line Options

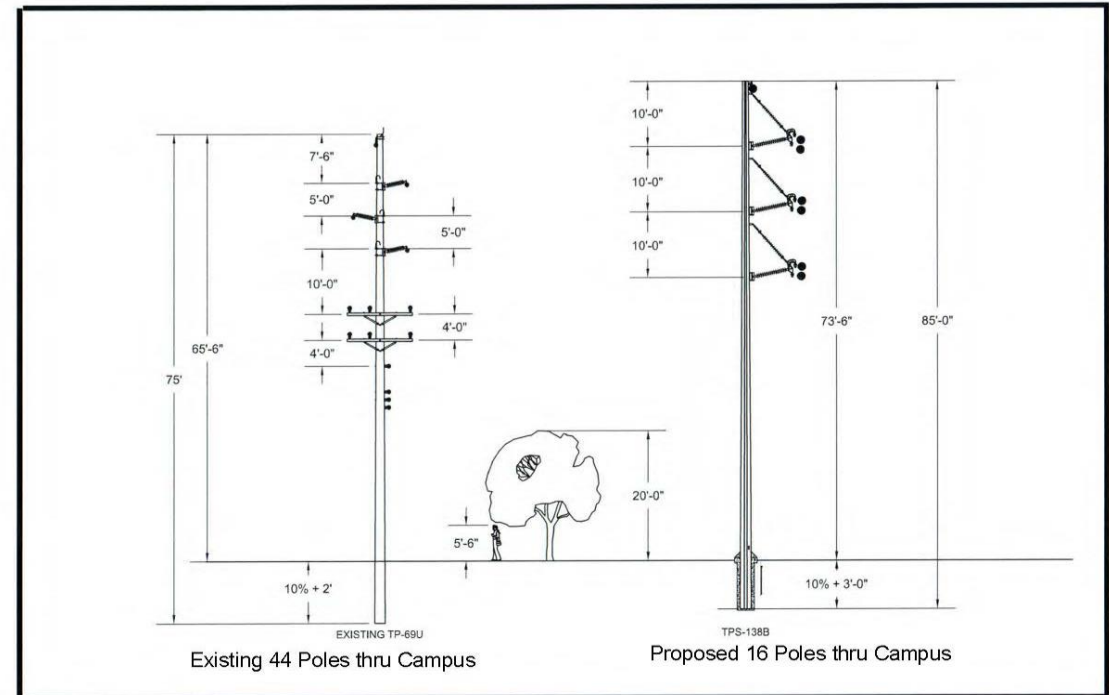


	UNT OH TM Bonnie Brae	UNT OH TM Ave. H (avoids TxDOT)	Option 1 Highland to Eagle UG	Option 2 Stella to Eagle UG	Modified Existing OH Route
Total TM Line Length (ft) / UG TM Line Length (ft)	15,220 / 0	14,810 / 0	9,100 / 5,300	9,100 / 7,700	9,100 / 0
Easement Required (SF)	350,715	264,885	UNT Provides campus esmnts	UNT Provides campus esmnts	UNT Provides campus esmnts
Households/Tenants to be Relocated	33	118	0	0	0
Number of Buildings/Structures to be Removed	15	20	0	0	0
Estimated Number of TM Poles	64	65	31	20	64 now / 42 proposed
TM Line Construction Cost	\$7,153,200	\$6,216,781	\$23,227,612	\$30,795,782	\$3,900,000
Easement / Land Acquisition Cost	\$11,240,000	\$23,040,000	\$500,000	\$500,000	\$850,000
Household / Tenant Relocation Cost	\$460,000	\$1,320,000	\$0	\$0	\$0
Buildings / Structures Removal Cost	\$3,840,000	\$3,340,000	\$0	\$0	\$0
Potential ED Cost	\$1,020,000	\$1,290,000	\$250,000	\$250,000	\$500,000
Estimated DME / Consultant & Constr Mgmt Costs	\$1,500,000	\$1,500,000	\$750,000	\$650,000	\$1,000,000
Relocation of Other Non-Electric Utilities	Unknown	Unknown	Unknown	Unknown	\$0
Total Estimated Cost	\$25,213,200	\$36,706,781	\$24,727,612	\$32,195,782	\$6,250,000
Total Estimated Cost Rounded	\$25,220,000	\$36,710,000	\$25,730,000	\$32,200,000	\$6,250,000
Total Estimated UNT Cost Rounded	\$25,220,000	\$36,710,000	\$25,730,000	\$32,200,000	\$0

Appendix

General Construction Schedule Hickory and Eagle Substations

Task Name	Date
Hickory Substation	
Construction Start	Mon 9/3/18
Construction Complete - Energize	Wed 7/1/20
Eagle Substation	
Land Acquisition	Fall 2017 or Spring 2018
Construction Start	Mon 1/7/19
Construction Complete - Energize	Mon 2/1/21



UNT Electric Utility Planning

UNT System Board of Regents

Presented by:

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

August 17-18, 2017



Title: Delegation of Authority to Execute an Extension of UNT's Agreement with the Texas Department of Aging and Disability Services on behalf of the Denton State Supported Living Center for Psychology and Behavioral Services

Background:

On October 31, 2014, the University of North Texas ("UNT") and the Texas Department of Aging and Disability Services ("DADS") on behalf of the Denton State Supported Living Center ("DSSLC") entered into a contract for services wherein UNT agreed to provide behavioral services from a Board Certified Behavior Analyst for high-risk individuals residing at DSSLC. Services to be performed by UNT included (1) development of annual and periodic behavioral assessments and evaluations; (2) development of individual positive behavior support programs; (3) development of crisis intervention and psychiatric support plans; (4) tabulation of behavioral incident data; (5) preparation and completion of monthly progress notes; (6) participation in annual planning conferences and interim meetings for individuals served; (7) participation in psychiatric consultation meetings; (8) preparation and presentation of behavioral data at psychiatric consultation meetings; (9) participation in periodic program reviews for individuals served; (10) presentation of behavioral support programs to the facility Human Rights Committee and the facility Behavior Support Committee for review and approval; (11) obtaining necessary due process and rights protection consents and approvals for behavior support plans and crisis intervention and psychiatric support plans; (12) providing competency based in-service training to direct care staff and ancillary service staff over the step-by-step procedures contained in positive behavior support plans; and (13) operation of a clinic performing assessment and intervention for severe challenging behavior based on referrals from the facility.

The current agreement between the parties ends August 31, 2017, at which time DADS will have provided approximately \$810,903.00 in funding to reimburse costs incurred by UNT in the performance of services. The parties desire to extend this agreement through August 31, 2018. Extending this agreement will result in anticipated funding of \$299,025.00 thereby increasing the total funding under the agreement to an amount not to exceed \$1,109,928.00.

The parties have negotiated an agreement to extend the contract, for which Board of Regents approval is sought.

Financial Analysis/History:

Extension of the Agreement with DADS is expected to provide funding of \$299,025.00 over the next fiscal year (FY18). DADS will reimburse UNT for costs incurred not to exceed \$299,025.00 during this one-year period.

Over the full term of the agreement, as extended through August 31, 2018, DADS will provide funding to UNT not to exceed \$1,109,928.00.

Bob Brown
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ou=VP for Finance and Administration,
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Date: 2017.08.07 09:25:36 -0500

Institution Chief Financial Officer

Janet
Waldron

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ou=Vice Chancellor for Finance,
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c=US
Date: 2017.08.07 18:17:36 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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Texas System, ou=Office of General Counsel,
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Date: 2017.08.08 16:20:15 -05'00'

Vice Chancellor/General Counsel

Schedule:

The extension agreement is effective on September 1, 2017 and terminates on August 31, 2018.

Recommendation:

Approval of an agreement and delegation of authority to negotiate and execute an agreement with the Texas Department of Aging and Disability Services on behalf of the Denton State Supported Living Center.

Recommended By:

Dr. Thomas McCoy

Vice President for Research and
Innovation

Neal
Smatresk

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of North Texas, ou=President,
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Date: 2017.08.07 09:40:21 -05'00'

President

Lee
Jackson

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ou=Office of the Chancellor,
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c=US
Date: 2017.08.09 09:42:10 -05'00'

Chancellor



Board Order

Title: Delegation of Authority to Execute an Extension of UNT's Agreement with the Texas Department of Aging and Disability Services on behalf of the Denton State Supported Living Center for Psychology and Behavioral Services

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

Whereas, the University of North Texas ("UNT") and the Texas Department of Aging and Disability Services ("DADS") on behalf of the Denton State Supported Living Center ("DSSLC") entered into a contract for services on October 31, 2014 for the provision of psychology and behavioral services by UNT to individuals residing at DSSLC, and

Whereas, this agreement terminates on August 31, 2017, and

Whereas, UNT and DADS desire to continue this agreement through August 31, 2018.

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

1. Approval of an extension of the agreement through August 31, 2018 for an amount not to exceed \$1,109,928.00.
 2. Delegation of authority to the Chancellor, with the concurrence of the UNT president, to negotiate and execute the extension.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Delegation of Authority to the Chancellor for Approval of UNTHSC Intergovernmental Transfers (IGT) of Funds for FY 2018 in the Texas Healthcare Transformation and Quality Improvement Program (1115 Transformation Waiver)

Background:

At the November 2012 quarterly meeting, the UNT System Board of Regents approved UNT Health Science Center (UNTHSC) as a participant in the Texas Healthcare Transformation and Quality Improvement Program ("1115 Transformation Waiver"). This initiative allows the State to expand Medicaid managed care while preserving hospital and provider funding, provides incentive payments for health care delivery system improvements, and directs more funding to hospitals and providers that serve large numbers of uninsured patients. The 1115 Transformation Waiver has two funding pools, one for Uncompensated Care (UC), and the other for Delivery System Reform Incentive Payments (DSRIP).

1. UC Pool Payments are designed to help offset the costs of otherwise uncompensated care provided to patients by hospitals or other providers.
2. DSRIP Pool Payments are incentive payments to hospitals and other providers that develop programs or strategies to enhance access to health care, increase the quality of care, and improve cost-effectiveness of care provided and the health of the patients and families served.

Under the 1115 Transformation Waiver, eligibility to receive UC or DSRIP payments requires participation in a regional healthcare partnership (RHP). UNTHSC is a participant in RHP 10 that includes Tarrant, Ellis, Erath, Hood, Johnson, Navarro, Parker, Somervell, and Wise Counties. Tarrant County Hospital District (d/b/a JPS Health Network) is the anchor for RHP 10.

Under the 1115 Transformation Waiver, certain governmental entities may make Intergovernmental Transfers (IGT) of eligible state and local funds, which then receive a federal match to fund UC or DSRIP payments to the governmental entity.

At the August 18-19, 2016 meeting, the UNT System Board of Regents approved the delegation of authority for the Chancellor to approve UNTHSC IGTs for FY 2016 totaling an estimated \$15.1 million in order to receive an estimated \$20.8 million in federal matching funds.

Financial Analysis/History:

In September 2016 for Demonstration Year (DY) 5 of the 1115 Transformation Waiver Program, UNTHSC sent an IGT of \$236,812 related to UC and received a federal match of \$315,584. In January 2017, UNTHSC sent an IGT of \$9,732,481 related to DSRIP and received a federal match of \$12,477,654. In February 2017, UNTHSC sent an IGT of \$413,359 related to UC and received a

federal match of \$529,952. In July 2017 UNTHSC sent an IGT in the amount of \$43,517 for Waiver monitoring.

During FY 2018, UNTHSC expects to IGT as much as \$23.2 million to receive federal matching funds totaling as much as \$32.0 million related to DSRIP projects for DY- 6 and DY-7. The timing and amounts of these IGTs will be directed by HHSC and could vary slightly depending on subsequent project valuation modifications by the federal Centers for Medicare and Medicaid Services and project performance by UNTHSC.

For UC, UNTHSC expects to IGT as much as \$1.3 million for DY-6 to receive a federal match totaling as much as \$1.6 million during FY 2018.

**Gregory R.
Anderson**

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DN: cn=Gregory R. Anderson, o=University of
North Texas Health Science Center,
ou=Executive Vice President/CFO,
email=gregory.anderson@unthsc.edu, c=US
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Institution Chief Financial Officer

**Janet
Waldron**

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ou=Vice Chancellor for Finance,
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Date: 2017.08.07 18:18:23 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

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

Schedule:

In accordance with subsequent direction and timing from the Texas Health and Human Services Commission and the federal Centers for Medicare and Medicaid Services.

Recommendation:

It is recommended that the UNT System Board of Regents delegate authority to the Chancellor to approve UNTHSC to IGT the appropriate funds, as much as \$24.5 million, related to DY-6 and DY- 7, as outlined above, in order to receive as much as \$33.6 million in federal matching funds under the DSRIP and UC payment pools of the 1115 Transformation Waiver.

Recommended By:

Gregory R. Anderson

Institution Chief Financial Officer

**Michael R.
Williams**

Digitally signed by Michael R.
Williams
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President

Lee Jackson

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Date: 2017.08.09 09:43:46 -05'00'

Chancellor



Board Order

Title: Delegation of Authority to the Chancellor for Approval of UNTHSC Intergovernmental Transfers (IGT) of Funds in FY 2018 in the Texas Healthcare Transformation and Quality Improvement Program (1115 Transformation Waiver)

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

Whereas, the UNT System Board of Regents previously approved UNTHSC's participation in the Texas Healthcare Transformation and Quality Improvement Program (1115 Transformation Waiver), and

Whereas, under the 1115 Transformation Waiver, certain governmental entities may make intergovernmental transfers (IGT) of eligible state and local funds related to Uncompensated Care or Delivery System Reform Incentive Payments to receive federal matching funds as described in the background section, and

Whereas, the UNT System Board of Regents previously approved the delegation of authority to the Chancellor for approval of UNTHSC IGTs related to Demonstration Years (DYs) 1 through 6 of the 1115 Transformation Waiver,

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

1. Delegation of authority to the Chancellor for approval of UNTHSC to make one or more intergovernmental transfers of eligible public funds to Texas HHSC during FY 2018 in order to receive federal matching funds under the DSRIP and UC payment pools for 1115 Transformation Waiver DY-7.
2. Combined IGT submissions for DSRIP and UC DY-6 and DY-7 not to exceed \$24.5 million, without additional approval of the Board.

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Board Order

Title: Approval of the Minutes of the May 18-19, 2017 Board Meeting and June 2-3, June 24, June 30, and July 29, 2017 Special Called Board Meetings

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

Whereas, the minutes of the May 18-19, 2017 Board Meeting and June 2-3, June 24, June 30, and July 29, 2017 Special Called Board Meeting have been prepared by the Board Secretary and are attached here for Board approval,

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

1. The minutes of the May 18-19, 2017 Board Meeting and June 2-3, June 24, June 30, and July 29, 2017 Special Called Board Meeting.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



MINUTES
BOARD OF REGENTS
May 18-19, 2017

Thursday, May 18, 2017

The University of North Texas System Board of Regents convened on Thursday, May 18, 2017 in Room 712 of University of North Texas System Building, 1901 Main St., Dallas, Texas with the following Regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, 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 9:03 a.m.

Chairman Ryan recognized Chancellor Jackson who made remarks about **Better Data, Accreditation Progress**, and the **Board Schedule and Briefings**.

This being Regent Christopher Lee's last Board meeting, Chairman Ryan presented on behalf of the Board of Regents a **Certificate of Appreciation** to Regent Christopher Lee for his service as Student Regent for the 2016-2017 academic year.

Chairman Ryan recessed the Board for the meetings of the Strategic and Operational Excellence, Academic Affairs and Student Success, and Finance and Facilities Committees.

Following a lunch break, the Board reconvened at 1:31 p.m. to go into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071 and 551.074.

The Board reconvened in open session at 2:30 p.m. with no action items coming out of Executive Session. The Board recessed for a meeting of the Audit Committee.

At 2:53 p.m. Chairman Ryan reconvened the Board and moved the Board into Executive Session to consider matters noted on the Executive Session agenda in accordance with Texas Government Code Section 551.071, 551.072, and 551.074.

At 4:27 p.m., following Executive Session, Chairman Ryan reconvened the Board into open session. There were no action items from Executive Session.

There being no further business, the Board meeting was recessed at 4:28 p.m. on Thursday, May 18, 2017 to be reconvened at 9:00 am on Friday, May 19, 2017 at the UNT System Building, 1901 Main St, Dallas.

Friday, May 19, 2017

The University of North Texas System Board of Regents reconvened on Friday, May 19, 2017 in Room 712 at the UNT System, 1901 Main St, Dallas, 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. There being a quorum established, Chairman Brint Ryan reconvened the Board meeting at 9:00 a.m.

Chairman Ryan recessed the Board for meetings of the Academic Affairs and Student Success Committee and the Finance and Facilities Committee.

Following the Committee meetings, the Board reconvened at 9:28 a.m.

The Board considered the following items of the Consent Agenda:

- | | |
|-----------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2017-18 UNTS | Approval of the Minutes of the February 23-24, 2017 Board Meeting, March 22, 2017 Special Called Meeting by Teleconference and March 24-25, 2017 Special Called Board Meeting |
| 2017-19 UNT | Approval of Tenure for New UNT Faculty Appointees |
| 2017-20 UNT | Approval of UNT Recommendations for New and Continued Regents Professor Designation |
| 2017-21 UNTHSC | Approval of Tenure for New UNTHSC Faculty Appointee |
| 2017-22 UNTHSC | Approval of Sub-award to Tarrant County under CDC Agreement 200-2011-41271 |
| 2017-23 UNTHSC | Authorization to Execute an Agreement Between UNTHSC and Tarrant County to Provide Limited Dermatologic Services to Patients Referred by the Tarrant County Public Health Department |

Regent Whitley recused himself from consideration of items 2017-22 and 2017-23 on the Consent Agenda. Therefore, the Consent Agenda was considered in two motions. Pursuant to a motion by Regent A.K. Mago seconded by Regent Rusty Reid the Board approved the first four items (2017-18 through 2017-21) on the Consent Agenda. The motion was approved on a 9-0 vote. Pursuant to a motion by Regent Rusty Reid seconded by Regent Don Potts the Board approved the last two items on the Consent Agenda (2017-22 and 2017-23). The motion was approved on an 8-0 vote, with Regent Whitley recused.

The Board then considered the following action items coming out of committees:

Audit Committee Item

- | | |
|---------------------|--------------------------------------------------------------------------------------------------|
| 2017-24 UNTS | Acceptance of the Externally Audited UNT System FY16 Consolidated Annual Financial Report |
|---------------------|--------------------------------------------------------------------------------------------------|

Pursuant to a motion by Regent Glen Whitley seconded by Regent Laura Wright the Board approved the above Audit Committee agenda item. The motion was approved on a 9-0 vote.

Academic Affairs Committee Items

- | | |
|-----------------------|---------------------------------------------------------------------------------------------------------------------|
| 2017-25 UNTS | Approval and Ratification of 2017-2018 Admission Standards for UNT System Institutions |
| 2017-26 UNT | Approval of UNT Tenure Recommendations |
| 2017-27 UNT | Approval to Add the UNT Bachelor of Science Degree Program with a Major in Consumer Experience Management |
| 2017-28 UNT | Approval to Add the UNT Master of Science Degree Program with a Major in Digital Communication Analytics |
| 2017-29 UNT | Approval to Add Master of Science Degree Program with a Major in Data Science |
| 2017-30 UNT | Approval to Add the UNT Master of Science Degree Program with a Major in Advanced Data Analytics |
| 2017-31 UNTHSC | Approval of UNTHSC Tenure Recommendations |
| 2017-32 UNTD | Approval of UNT Dallas Tenure Recommendations |
| 2017-33 UNTD | Approval to Add the UNT Dallas Bachelor of Business Administration Degree with a Major in Business Analytics |

Pursuant to a motion by Regent Al Silva seconded by Regent A.K. Mago the Board approved the above Academic Affairs and Student Success Committee agenda items. The motion was approved on a 9-0 vote. Note: Item #10 on the agenda, *Approval to Add the UNT Bachelor of Arts Degree Program with a Major in Latino and Mexican American Studies*, was tabled by the Academic Affairs and Student Success Committee.

Finance and Facilities Committee Items

- | | |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2017-34 UNTS | Approval of Broker/Dealer List for Fiscal Year 2018 |
| 2017-35 UNTS | Amendment to Twenty-Fourth Supplemental Resolution to the Master Resolution Establishing the University of North Texas System Revenue Financing System Commercial Paper Program, Series B |
| 2017-36 UNTS | Approval of Amended Regulation 08.2000, Investment of System Funds |
| 2017-37 UNTS | Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Project Scope of the Interdisciplinary Research Building at HSC |
| 2017-38 UNTS | Authorization to Amend the UNTS FY17 Capital Improvement Plan to Modify the Scope and Budget for Sycamore Hall 2nd Floor Renovation at UNT |
| 2017-39 UNT | Approval of a Letter of Agreement and Delegation of Authority to Negotiate and Execute a Long-Form Agreement with Learfield Communications, LLC to administer UNT Athletics Multi-Media Rights |

2017-40 UNTHSC

Delegation of Authority to Extend Agreement with Improving Enterprises

2017-41 UNTHSC

Authorization to Serve on Outside Board

Pursuant to a motion by Regent Rusty Reid seconded by Regent Don Potts the Board approved the above Finance agenda items. The motion was approved on a 9-0 vote.

At 9:31 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, 551.072, and 551.074.

At 11:09 a.m., following Executive Session, Chairman Ryan reconvened the Board into open session. There were two action items from Executive Session.

2017-42 UNTS

Delegation of Authority to Amend the UNT Dallas President's Employment Agreement

Pursuant to a motion by Regent Milton Lee seconded by Regent Al Silva the Board approved the above action item. The motion was approved on a 9-0 vote.

2017-43 UNTHSC

Delegation of Authority to Negotiate and Execute a Lease for the Real Property and Improvements Located at 975 Haskell Street, Fort Worth, Tarrant County, Texas

Pursuant to a motion by Regent Laura Wright seconded by Regent Rusty Reid the Board approved the above action item. The motion was approved on a 9-0 vote.

The following Background Material was shared with the Board through its committees:

- Quarterly Operations Report
- UNTS Administration and Institutional Strategic Planning Documentation
- UNT System Consolidated Quarterly Compliance Report, December 2016 through February 2017

There being no further business, the Board meeting was adjourned at 11:11 am on Friday, May 19, 2017.

Submitted By:

Approved By:

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

Brint Ryan, Chairman
Board of Regents

Date: May 25, 2017

Date: _____



**Minutes
Special Called Meeting
Board of Regents
June 2-3, 2017**

Friday, June 2, 2017

The University of North Texas System Board of Regents convened on Friday, June 2, 2017 in Room 711 of University of North Texas System Building, 1901 Main St., Dallas, Texas with the following regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, Glen Whitley, and Laura Wright. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 9:03 a.m. The meeting was called to order by Chairman Brint Ryan at 8:35 a.m.

Chairman Ryan recessed the Board to go into Executive Session under Government Code Chapter 551.074 immediately after convening and came out of Executive Session at 4:54 p.m. with no action taken.

The meeting recessed at 4:55 p.m. until the following day in the same room.

Saturday, June 3

The Board reconvened at 7:45 a.m. with the following regents present: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Al Silva, Gwyn Shea, Glen Whitley, and Laura Wright.

Chairman Ryan recessed the Board to go into Executive Session under Government Code Chapter 551.074 immediately after convening and came out of Executive Session at 11:33 a.m. with no action taken.

The Board of Regents meeting adjourned at 11:34 a.m.

Submitted By:

Approved By:

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

Brint Ryan, Chairman
Board of Regents

Date: June 30, 2017

Date: _____



**Minutes
Special Called Meeting
Board of Regents
June 24, 2017**

The University of North Texas System Board of Regents convened on Saturday, June 24, 2017 in the Executive Boardroom of the Grand Hyatt DFW, 2337 South International Parkway, Dallas, Texas, with the following regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, Glen Whitley, and Laura Wright. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 9:00 a.m.

Chairman Ryan recessed the Board to go into Executive Session under Government Code Chapter 551.074 immediately after convening and came out of Executive Session at 1:14 p.m. with no action taken.

The Board of Regents meeting adjourned at 1:14 p.m.

Submitted By:

Approved By:

Rosemary R. Haggett

Rosemary R. Haggett, Board Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Date: June 30, 2017

Date: _____



**Minutes
Special Called Meeting
Board of Regents
June 30, 2017**

The University of North Texas System Board of Regents convened on Friday, June 30, 2017 in the Executive Boardroom of the Grand Hyatt DFW, 2337 South International Parkway, Dallas, TX with the following regents in attendance: Brint Ryan, Milton Lee, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, Laura Wright, and Haley Leverett. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 3:04 p.m.

Chairman Ryan recessed the Board to go into Executive Session under Government Code Chapter 551.074 immediately after convening and came out of Executive Session at 7:35 p.m. with no action taken.

The Board of Regents meeting adjourned at 7:35 p.m.

Submitted By:

Approved By:

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

Brint Ryan, Chairman
Board of Regents

Date: August 11, 2017

Date: _____



**Minutes
Special Called Meeting
Board of Regents
July 29, 2017**

The University of North Texas System Board of Regents convened on Saturday, July 29, 2017, in Room 712, UNT System Building, 1901 Main St, Dallas, TX with the following regents in attendance: Brint Ryan, A.K. Mago, Don Potts, Rusty Reid, Gwyn Shea, Al Silva, Glen Whitley, and Laura Wright. In accordance with a notice being duly posted with the Secretary of State and there being a quorum present, Chairman Brint Ryan called the meeting to order at 11:04 a.m.

Chairman Ryan recessed the Board to go into Executive Session under Government Code Chapter 551.071 immediately after convening. The Board came out of Executive Session and reconvened in open session at 11:55 a.m. There was no action item from Executive Session.

Chairman Ryan recessed the Board to go into Executive Session under Government Code Chapter 551.074 at 11:58 a.m. The Board reconvened in open session at 1:56 p.m. There was no action item from Executive Session.

The Board of Regents meeting adjourned at 1:57 p.m.

Submitted By:

Approved By:

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

Brint Ryan, Chairman
Board of Regents

Date: Aug 11, 2017

Date: _____



Title: Approval of Intercomponent Transfers of State Appropriations

Background:

With the approval of the governing board, transfers of appropriations may be made between academic components within a system, between health science centers within a system, and between system administrations and component institutions.

Financial Analysis/History:

This item is intended to provide the approval necessary for appropriations transfers made throughout the year.

Bob Brown
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DN: cn=Bob Brown, o=University of North Texas, ou=VP for Finance and Administration, email=bob.brown@unt.edu, c=US
Date: 2017.08.07 09:21:41 -05'00'
UNT Chief Financial Officer

Gregory R. Anderson
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DN: cn=Gregory R. Anderson, o=University of North Texas Health Science Center, ou=Executive Vice President/CFO, email=gregory.anderson@unthsc.edu, c=US
Date: 2017.08.03 09:49:00 -05'00'
UNT Health Science Center
Chief Financial Officer

daniel.edelman@untdallas.edu
Digitally signed by daniel.edelman@untdallas.edu
DN: cn=daniel.edelman@untdallas.edu
Date: 2017.08.03 14:36:23 -05'00'
UNT Dallas Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.08.07 18:06:07 -05'00'
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 15:50:38 -05'00'
Vice Chancellor/General Counsel

Schedule:

Transfers will be made after approval of the Board of Regents and upon implementation of the FY2018 budget beginning September 1, 2017.

Recommendation:

It is recommended that the Board approve intercomponent transfers of FY2017 appropriations.

Recommended By:

Janet Waldron

Vice Chancellor for Finance

Lee Jackson

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DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.08.09 09:07:26 -05'00'

Chancellor



Board Order

Title: Approval of Intercomponent Transfers of State Appropriations

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

Whereas, state law requires governing board approval of intercomponent transfers of appropriations,

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

1. The request to the State Comptroller, pursuant to the appropriate transfer provisions of the General Appropriations Act of the 85th Legislature, to make necessary transfers within the Legislative Appropriations (and/or Informational Items of Appropriation) from the General Revenue Fund as authorized by the Chief Financial Officer of each entity as follows:

The University of North Texas
The University of North Texas Health Science Center at Fort Worth
The University of North Texas at Dallas
The University of North Texas System Administration

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

**Title:** Approval of Tenure for New UNT Faculty Appointees

Background:

In accordance with UNT Policy 06.004, *Faculty Reappointment, Tenure, and Promotion, I.B.*, Maximum Probationary Period:

“The maximum probationary period for a faculty member appointed as an assistant professor is the equivalent of six (6) years of full-time service.”

And 06.004, V.I, Review of Dossier by the Provost:

“The provost’s recommendation is sent to the president. The president’s recommendations regarding the candidates for tenure are then sent to the Board of Regents for final approval.”

Donna Barnes will join the College of Liberal Arts and Social Sciences, Department of Sociology, as Professor and Chair on August 28, 2017. Dr. Barnes received a BA (1975) from Louisiana State University, and an MA (1978) and PhD (1982) from the University of Texas at Austin. Dr. Barnes has served at the University of Wyoming since 1991, achieving promotion to Associate Professor and tenure in 2005, and promotion to Professor in 2011. Prior to the University of Wyoming, Dr. Barnes served at Colorado State University, Southern Methodist University, and the University of Southern Mississippi. She sustains a successful publication record, demonstrated by her latest book, *The Louisiana Populist Movement*, winner of the Louisiana Library Associations’ Literary Award in 2011. Dr. Barnes has an ongoing record of article publications and grant awards and is active in student mentoring. She provides leadership as the current chair of the Sociology Department at the University of Wyoming, where she also serves on several committees.

Jonathan Eaton will join the College of Music, Division of Conducting and Ensembles, as a Professor on August 28, 2017. Mr. Eaton received an MA (1976) in German and French Language and Literature from Trinity College, Cambridge University, England. Mr. Eaton’s academic credentials also include postgraduate studies in the Postgraduate Singing Course and Opera Program at the Guildhall School of Music in London. Mr. Eaton has been a tenured Professor at both the University of Cincinnati’s College Conservatory of Music where he served for 13 years, and Carnegie-Mellon University where he served for 5 years. He has taught many graduate-level courses and has directed numerous productions. Mr. Eaton is considered one of the world’s leading opera directors, having directed at some of the world’s most prestigious venues, including the: (a) New York City Opera, (b) Royal Opera at Covent Garden, (c) English National Opera, (d) San Francisco Opera, (e) Lyric Opera of Chicago, (f) Opera Company of Philadelphia, (g) Spoleto Festival, (h) Santa Fe Opera, and (i) Dallas Opera. Mr. Eaton is currently serving as the Artistic Director for the Opera Theater of Pittsburgh.

Clifford Harbour will join the College of Education, Department of Counseling and Higher Education, as a Professor on August 28, 2017. Dr. Harbour received a BA in Philosophy and Political Science (1978) from Rhode Island College, an MA in Philosophy (1987) from Duke University, a JD from Ohio Northern University (1980), and an EdD (2000) from North Carolina

State University. Dr. Harbour is currently a Professor of Educational Leadership at the University of Wyoming and was hired as a tenured Associate Professor in 2008, receiving promotion to Professor in 2015. Dr. Harbour served Colorado State University from 2001-2008, achieving tenure and promotion to Associate Professor in 2007. He has served in leadership roles as past president of the Council for the Study of Community Colleges and as Dean of Academic Programs for Durham Technical Community College. Dr. Harbour has authored 31 peer-reviewed manuscripts and is author of the book, *John Dewey and the Future of Community College Education*. His awards include the: (a) Presidential Gavel Award from the Council for the Study of Community Colleges, (b) 2013 College of Education Faculty Award for Outstanding Contributions Toward Improving Climate at the University of Wyoming, and (c) 2012 University of Wyoming Hollon Family Award for Teaching Excellence in Off-Campus Programs. Dr. Harbour has taught approximately 20 different higher education courses and has chaired over 20 dissertations.

Anupama Kaul will join the College of Engineering, Departments of Materials Science and Engineering (80% appointment) and Electrical Engineering (20% appointment), as a Professor on August 28, 2017. Dr. Kaul received a BS (1992) in Physics from Oregon State University, and an MS (1997) and PhD (2000) in Materials Science and Engineering from the University of California at Berkeley. Dr. Kaul joined the University of Texas at El Paso as the AT&T Distinguished Professor of Electrical and Computer Engineering, as well as the Associate Dean for Research and Graduate Studies in the College of Engineering in 2014, where she received tenure. From 2002-2014, she served the Jet Propulsion Labs at the California Institute of Technology as a Senior Member of the Technical Staff and Task Manager. The last three of those years were spent serving as a Program Director at the National Science Foundation in Washington, DC in the Electrical Communications and Cyber Systems Division of the Engineering Directorate. From 2000-2002, Dr. Kaul was a Senior R&D Engineer at Motorola Labs. Dr. Kaul has published over 100 refereed papers in journals and at conferences, and has been involved in funded research totaling over \$3.2 million dollars. She has taught a variety of classes, and has a strong background in supervising graduate students and postdoctoral researchers.

Blair Kidwell will join the College of Business, Department of Marketing and Logistics, as an Associate Professor on August 28, 2017. Dr. Kidwell received a BS (1999) in Psychology from Boise State University, and a PhD (2004) in Marketing from Virginia Tech. Dr. Kidwell most recently served at an Assistant Professor of Marketing at Florida International University. He previously served at The Ohio State University as an Associate Professor, achieving tenure in 2013. From 2005-2012 he served at the University of Kentucky, achieving promotion to Associate Professor and tenure in 2011. Dr. Kidwell has published more than 20 journal articles, with 7 published in elite journals. He has an extensive record working with doctoral students, with a proven record of recruiting top doctoral candidates. Dr. Kidwell has reviewed for the *Journal of Consumer Research*, *Journal of Marketing Research*, *Journal of Marketing*, and other prestigious journals. He has also held various leadership roles for the American Marketing Association's annual conference.

Lauren Lake will join the College of Visual Arts and Design, Department of Studio Arts, as Department Chair and Professor on August 1, 2017. Ms. Lake received a BA in Art Education (1996) and a terminal MFA degree (1998) from the University of Wisconsin at Madison. Ms. Lake has served at the University of Alabama at Birmingham as Associate Professor and Chair of the Department of Art and Art History since 2013. She served the University of Florida from 2002-2013, receiving promotion to Associate Professor and tenure in 2010. From 2010-2013, Ms. Lake served as the Assistant Director/Director of Graduate Studies for the School of Art and Art History. This past year, she received fellowships from the National Council for Arts Administrators and the International Council of Fine Arts Deans. Ms. Lake was the recipient of the: (a) 2007 Southeastern College Art Conference Excellence in Teaching Award; (b) 2008

University of Florida, College of Fine Arts International Educator Award; and (c) 2009 College of Fine Arts Teaching Award.

Elias Mpofu will join the College of Health and Public Service, Department of Disability and Addiction Rehabilitation, as a Professor on August 28, 2017. Dr. Mpofu received a BA (1987) in Psychology and a BA (1995) in Industrial Psychology from the University of South Africa, an MS (1991) in Educational Psychology from the University of Zimbabwe, and a PhD (1999) in Rehabilitation Psychology from the University of Wisconsin at Madison. Since 2013, Dr. Mpofu has served as the Chair of the Community Health and Prevention Science Group at the University of Sydney, Australia. He served The Pennsylvania State University from 2002-2008, as a tenured Associate Professor, achieving promotion to Professor in 2005. He has also served at the University of Botswana and the University of Limpopo, South Africa. Dr. Mpofu has achieved a record of scholarship which includes over 100 scholarly publications in refereed national and international journals, over 70 books and book chapters, as well as 3 successfully completed NIH grants and other funded initiatives that total over \$20 million in external and internal research and training grants. He has received many awards including: (a) Fellow of the Australian Society of Rehabilitation Counselors (2014), (b) Educator of the Year Award by the National Council on Rehabilitation Education (2010), (c) Mary Switzer Distinguished Researcher Award (2007), and (d) American Rehabilitation Counseling Association Research Citation (2006).

Jessica Napoles will join the College of Music, Division of Music Education, as an Associate Professor on August 28, 2017. Dr. Napoles received a BME (1996), MME (2000), and PhD (2006) in Music Education from Florida State University. Dr. Napoles joined The University of Utah in 2006, achieving promotion to Associate Professor and tenure in 2011. She is well known for her high-level presentations in the areas of choral pedagogy and conducting and has presented at leading Music Education conferences, including the National Association for Music Education and the American Choral Directors Association. Dr. Napoles has presented choral sessions for schools, honor choirs, and all-state ensembles across the United States. She has published in top Music Education journals, including the Journal of Music Teacher Education and the International Journal of Music Education. Dr. Napoles has taught a variety of undergraduate- and graduate-level courses in the choral, conducting, and other Music Education areas.

Jeffrey Ogden will join the College of Business, Department of Marketing and Logistics, as a Professor on August 28, 2017. Dr. Ogden received a BS (1998) in Accounting from Weber State University, and an MBA (2000) and PhD (2003) in Business Administration from Arizona State University. Dr. Ogden has served at the Air Force Institute of Technology since 2006, receiving promotion to Associate Professor and tenure in 2011, and promotion to Professor in 2017. From 2003-2006, he served as an Assistant Professor at Brigham Young University. Dr. Ogden has 22 peer-reviewed articles, including articles in leading logistics and supply chain journals. He has acted as Principal Investigator or Co-Principal Investigator generating over \$1.5 million in research funding. Dr. Ogden's teaching experience includes traditional format, compressed classes, distance-learning classes, and executive classes.

Binod Shrestha will join the College of Visual Arts and Design, Department of Studio Arts, as an Associate Professor on August 1, 2017. Mr. Shrestha received an MFA (1999) from Bangalore University (India) and a terminal MFA (2005) from the Pennsylvania Academy of Fine Arts. Mr. Shrestha has served at the University of Wisconsin at LaCrosse since 2009, achieving promotion to Associate Professor and tenure in 2014. He serves as Foundations Coordinator and is active in the arenas of art foundations pedagogy and curriculum development. From 2006-2009, Mr. Shrestha served as an Assistant Professor of Art in the School of Art at the University of Tulsa. Mr. Shrestha is actively engaged in mentorship with students through faculty research, undergraduate research, and independent projects.

Hans-Peter Wachter will join the College of Visual Arts and Design, Department of Design, as Professor and Chair on August 1, 2017. Mr. Wachter received a Bachelor of Interior Architecture (1986) from the University of Applied Science in Rosenheim Germany, and a Master of Architecture (1989) and a terminal MFA (1991) from the State Academy of Arts in Düsseldorf, Germany. Most recently, Mr. Wachter served at the University of Oklahoma as an Associate Professor of Interior Design, achieving tenure in 2009. During his time at the University of Oklahoma (2001-2017), he held dual appointments in Liberal Studies and Architecture. Mr. Wachter has been active in interdisciplinary design research, successfully securing internal and external funding from sources such as the Environmental Protection Agency and the D.W. Reynolds foundation. Mr. Wachter's teaching experience has included multiple forms of design pedagogy including education abroad studies, community service learning, and experiential learning through community projects.

Yong Yang will join the College of Engineering, Department of Biomedical Engineering, as an Associate Professor on August 28, 2017. Dr. Yang received a Bachelor of Engineering (1993) in Chemical Engineering and a MS (1998) in Polymer Science and Engineering from Zhejiang University in Hangzhou, China, and a PhD in Chemical Engineering (2005) from The Ohio State University. Dr. Yang has served at West Virginia University since 2011, achieving tenure and promotion to Associate Professor in 2017. He served as a Research Associate at The Ohio State University from 2005-2007, and as a Post-Doctoral Research Associate at Duke University from 2007-2011. Dr. Yang has published 40 refereed papers, over 75 conference presentations, and has been involved in funded research totaling almost \$1 million. He has taught a variety of graduate and undergraduate courses and has a strong record of mentoring undergraduate and graduate students.

Financial Analysis/History:

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

Bob Brown
Digitally signed by Bob Brown
DN: cn=Bob Brown, o=University of North
Texas, ou=VP for Finance and Administration,
email=bob.brown@unt.edu, c=US
Date: 2017.08.07 09:22:56 -0500

Institution Chief Financial Officer

**Janet
Waldron**
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT
System, ou=Vice Chancellor for
Finance,
email=janet.waldron@untsystem.e
du, c=US
Date: 2017.08.07 18:07:02 -0500
Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 15:51:23 -0500

Vice Chancellor/General Counsel

Schedule:

Tenure will be effective upon Board approval or on the first day of employment if after the date of Board approval for the following individuals:

- Donna Barnes
- Jonathan Eaton
- Clifford Harbour
- Anupama Kaul
- Blair Kidwell
- Lauren Lake
- Elias Mpofu
- Jessica Napoles
- Jeffrey Ogden
- Binod Shrestha
- Hans-Peter Wachter
- Yong Yang

Recommendation:

The President recommends that the Board of Regents authorize and approve the award of tenure for Donna Barnes, Jonathan Eaton, Clifford Harbour, Anupama Kaul, Blair Kidwell, Lauren Lake, Elias Mpofu, Jessica Napoles, Jeffrey Ogden, Binod Shrestha, Hans-Peter Wachter, and Yong Yang.

Recommended By:

Jennifer Evans-Cowley

Provost and VPAA

Neal
Smatresk

Digitally signed by Neal Smatresk
DN: cn=Neal Smatresk, o=University
of North Texas, ou=President,
email=neal.smatresk@unt.edu, c=US
Date: 2017.08.07 09:38:10 -05'00'

President

Rosemary R.
Haggett

Digitally signed by Rosemary R. Haggett
DN: cn=Rosemary R. Haggett, o=University of North
Texas System, ou=Vice Chancellor for Academic
Affairs and Student Success,
email=rosemary.haggett@untssystem.edu, c=US
Date: 2017.08.07 10:00:07 -05'00'

Vice Chancellor

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untssystem.edu,
c=US
Date: 2017.08.09 09:09:13 -05'00'

Chancellor



Board Order

Title: Approval of Tenure for New UNT Faculty Appointees

At an official meeting of the Board of Regents of the University of North Texas System properly posted and held on August 17-18, 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 06.004, *Faculty Reappointment, Tenure, and Promotion*:

“The maximum probationary period is defined as the maximum amount of time a faculty member may be appointed in probationary ranks in the university,” and

Whereas, this period shall be specified for each individual at the time of his or her initial appointment,” and

Whereas, “these provisions do not preclude a recommendation for the granting of tenure at any time prior to the expiration of the maximum probationary period,” and

Whereas, Donna Barnes, Jonathan Eaton, Clifford Harbour, Anupama Kaul, Blair Kidwell, Lauren Lake, Elias Mpofu, Jessica Napoles, Jeffrey Ogden, Binod Shrestha, Hans-Peter Wachter, and Yong Yang were awarded tenure at their previous institutions, and

Whereas, Donna Barnes, Jonathan Eaton, Clifford Harbour, Anupama Kaul, Blair Kidwell, Lauren Lake, Elias Mpofu, Jessica Napoles, Jeffrey Ogden, Binod Shrestha, Hans-Peter Wachter, and Yong Yang have the credentials and experience to be awarded tenure as confirmed by their department, college, and provost, and

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

1. The conferring of tenure will be effective upon Board approval or on the first day of employment if after the date of Board approval for the following individuals: to Donna Barnes, Jonathan Eaton, Clifford Harbour, Anupama Kaul, Blair Kidwell, Lauren Lake, Elias Mpofu, Jessica Napoles, Jeffrey Ogden, Binod Shrestha, Hans-Peter Wachter, and Yong Yang.
-

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 Regents' Professor Recommendations**Background:**

In accordance with Regents Rule 06.304, *Regents' Professors*:

The Board may award the designation of "Regents' Professor" to provide recognition and salary support for individuals at the rank of professor who have performed outstanding teaching, research and service to the profession, and who have achieved a high level of national and international recognition. To be considered, a candidate must meet the eligibility requirements set by the Institution and be recommended to the Board following the Institution's selection procedures. The Institution shall review Regents' Professors as required by Institution policy to determine continued eligibility for the position.

In accordance with UNT Health Science Center (UNTHSC) Policy 6.102, *Regents' Professor, Emeritus Professor, Emeritus Regents' Professor, and Emeritus Administrator Designations*,

The purpose of the Regents' Professor award at UNTHSC is to provide recognition and salary support for individuals at the rank of professor who have performed outstanding teaching, research and service to the profession, and who have achieved a high level of national and international recognition. To be eligible for this award, an individual must: 1) be a full-time, tenured professor; 2) have a distinguished record of teaching, research, and service to UNTHSC and to the profession, and a high level of national and international recognition; and 3) demonstrate evidence of the potential for continued distinguished performance. Candidates must submit, or have submitted on their behalf, at least four letters of support from full professors at the UNTHSC and two letters from scholars outside UNTHSC attesting to their national and international reputation. Nominations for the designation of Regents' Professor shall be made by the department chair to the appropriate school/college promotion and tenure committee. The promotion and tenure committee will conduct its review of the Regents' Professor candidate utilizing the promotion/tenure criteria for full professors within that school/college and submit their recommendation to the appropriate dean. The dean will then review the Regents' Professor candidate's packet and forward his/her recommendation to the Provost and Executive Vice President for Academic Affairs (Provost). Pending his/her review and support to continue the nomination, the Provost will forward his/her recommendation to the President for recommendation to the UNT System Board of Regents for approval. Only the Board of Regents may award the designation of Regents' Professor. Review of continued eligibility shall occur in the sixth year following the year of a Regents' Professor's appointment to the designation.

Having met the above eligibility requirements and selection procedures, the designation of "Regents' Professor" is recommended for the following individuals:

Dr. Johnny He for Regents' Professor

Dr. Johnny J. He, tenured Professor and Associate Dean of the Graduate School of Biomedical Sciences (GSBS) joined UNTHSC in August 2011. As Associate Dean for Biomedical Education

and Research, Dr. He has worked to re-organize the graduate programs for better interdisciplinary integration, revamp the biomedical science core curriculum with emphasis on skill-building and higher order of thinking, develop a number of milestone measures and assessment rubrics for better tracking of students' learning/training outcomes, and promote a culture of continuous assessment by coordinating periodic graduate program reviews for the Southern Association of Colleges and Schools (SACS) accreditation. He began his career as Assistant Professor at Indiana University School of Medicine in 1997 and promoted to tenured Associate Professor in 2002 and tenured Professor in 2005. As a faculty member, Dr. He has actively participated in teaching graduate students and medical students in the classroom setting lectures on subjects such as Biochemistry, Molecular Biology, Virology, and Microbiology. He has served as Core Course Director, Course Director, and lecturer for the past six years and has trained and mentored graduate students, postdoctoral fellows, junior faculty, and a number of short-term rotation students. Dr. He's research focus is on host-virus interaction, specifically human immunodeficiency virus (HIV) and hepatitis C virus (HCV) infection and pathogenesis in the central nervous system. Dr. He has successfully secured close to \$15 million in research grants (direct cost) with no funding gaps over the past 20 years. He has published over 100 peer-reviewed original papers, many of which are in premier journals. Dr. He has provided numerous hours of service to UNTHSC and his profession. He serves on more than 20 committees at the institution (department, GSBS, and UNTHSC). He is Editor/Associate Editor/Editorial Board of six scientific journals and ad-hoc reviewer for many other journals. He has served on more than 120 National Institutes of Health (NIH) grant review panels and has recently been elected to be President-Elect of the Society on Neuroimmune Pharmacology. In summary, Dr. He has been an outstanding faculty member in all aspects of scholarship and highly deserves the recognition associated with the designation of Regents' Professor.

Dr. Steve Mifflin for Regents' Professor

Dr. Steve Mifflin has served in several leadership roles since his recruitment to UNTHSC in the Graduate School of Biomedical Sciences (GSBS) as Professor and Chair of the Department of Integrative Physiology in July, 2009. In 2015, the GSBS was reorganized and departments were reformed into Institutes where Dr. Mifflin was appointed as Executive Director of the Institute for Cardiovascular and Metabolic Disease. Dr. Mifflin has provided additional notable service to UNTHSC as he served as the Interim Chair of the Department of Molecular Biology and Immunology from 2012 to 2013. During his tenure as Department Chair and Institute Director, Dr. Mifflin aggressively recruited top scientists to join the department/institute. He has been successful at mentoring junior and senior faculty in the face of declining federal support for research and funding which has steadily increased during his time at UNTHSC. Dr. Mifflin is an internationally recognized scientist with a long history of cutting edge research investigating the role of the brain in the regulation of blood pressure. His laboratory has been consistently funded by the National Institutes of Health (NIH) and the American Heart Association (AHA). He directs a Program Project grant which is investigating mechanisms associated with the pathologies observed in sleep apnea patients, where the grant was renewed for funding at a level of 9.4 million dollars in 2015 and will run through 2020. He has reviewed grants for the NIH and AHA and has served on or held leadership positions on editorial boards for prestigious physiology journals such as the American Journal of Physiology and the Journal of Physiology (London). Despite his administrative load and the duties of maintaining a world-class research program, Dr. Mifflin has remained an active educator. He has trained pre- and post-doctoral students and has provided lectures to medical, graduate, physical therapy and physician assistant students in a number of areas of physiology (neural, cardiovascular, endocrinology, respiratory). His lectures are very well received by the students as reflected by his rankings in student evaluations which are consistently the highest in the department/institute. In summary, Dr. Mifflin has been an outstanding faculty member in scholarship, teaching, leadership and service and as such, he is deserving of the designation of Regents' Professor.

Financial Analysis/History:

The designation of Regents' Professor carries with it a one-time salary adjustment of \$10,000 to base compensation for the term of the appointment.

**Gregory R.
Anderson**

Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, o=University
of North Texas Health Science Center,
ou=Executive Vice President/CFO,
email=gregory.anderson@unthsc.edu, c=US
Date: 2017.08.03 09:49:52 -05'00'

Institution Chief Financial Officer

**Janet
Waldron**

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System,
ou=Vice Chancellor for Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.08.07 18:07:58 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 15:52:04 -05'00'

Vice Chancellor/General Counsel

Schedule:

Effective September 1, 2017.

Recommendation:

The President recommends that the Board of Regents approve the awarding of "Regents' Professor" designation to Dr. Johnny He and Dr. Steve Mifflin.

Recommended By:

Clair Peel

Interim Provost

**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: 2017.08.07 10:20:51 -05'00'

Vice Chancellor

**Michael R.
Williams**

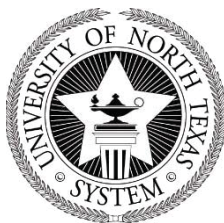
Digitally signed by Michael R.
Williams
DN: cn=Michael R. Williams,
o=UNTHSC, ou=President,
email=michael.williams@unthsc.edu,
c=US
Date: 2017.08.03 11:23:53 -05'00'

President

Lee Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System,
ou=Office of the Chancellor,
email=lee.jackson@untsystem.edu, c=US
Date: 2017.08.09 09:10:35 -05'00'

Chancellor



Board Order

Title: Approval of UNTHSC Regents' Professor Recommendations

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

Whereas, in accordance with Regents Rule 06.304, *Regents' Professors*:

The Board may award the designation of "Regents' Professor" to provide recognition and salary support for individuals at the rank of professor who have performed outstanding teaching, research and service to the profession, and who have achieved a high level of national and international recognition, and

Whereas, the eligibility requirements and selection process was followed in accordance with UNT Health Science Center (UNTHSC) Policy 06.102, *Regents' Professor, Emeritus Professor, Emeritus Regents' Professor, and Emeritus Administrator Designations*,

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

1. The awarding of "Regents' Professor" designation effective September 1, 2017 for:

- Dr. Johnny He
 - Dr. Steve Mifflin
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Board Briefing



Committee: Consent

Date Filed: July 25, 2017

Title: Authorization to Enter into Agreement with Tarrant County Medical Examiner's Office for Joint Providership of Continuing Medical Education

Background:

UNTHSC Professional and Continuing Education (PACE) seeks to enter into an agreement to provide management and accreditation of three regularly scheduled series (RSS) medical education events hosted by Tarrant County Medical Examiner's Office. PACE's responsibilities will be to evaluate the proposed needs assessment and gap analysis, educational plan, learning objectives, implementation plan, budget, faculty/presenters, evaluation. PACE will provide continuing education credit for the meeting(s).

Financial Analysis/History:

The proposed agreement is for \$3,000.00 and includes three programs to be paid by Tarrant County Medical Examiner's Office Fort Worth to UNTHSC for PACE services.

Gregory R.
Anderson

Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, o=University of
North Texas Health Science Center, ou=Executive
Vice President/CFO,
email=gregory.anderson@unthsc.edu, c=US
Date: 2017.08.03 09:50:37 -05'00'

Institution Chief Financial Officer

Janet
Waldron

Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT
System, ou=Vice Chancellor for
Finance,
email=janet.waldron@untsystem.edu,
c=US
Date: 2017.08.07 18:08:39 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer

Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North
Texas System, ou=Office of General Counsel,
email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 15:52:40 -05'00'

Vice Chancellor/General Counsel

Schedule:

The program will be offered between January 2017 and December 2017. \$3,000.00 payment is due upon execution of the agreement.

Recommendation:

It is recommended that the Board of Regents authorize and approve UNTHSC to enter into an agreement with Tarrant County Medical Examiner's Office Fort Worth.

Recommended By:

Clair Peel

Interim Provost

**Michael R.
Williams**

Digitally signed by Michael R. Williams
DN: cn=Michael R. Williams, o=UNTHSC, ou=President, email=michael.williams@unthsc.edu, c=US
Date: 2017.08.03 11:24:27 -05'00'

President

**Lee
Jackson**

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System, ou=Office of the Chancellor, email=lee.jackson@untsystem.edu, c=US
Date: 2017.08.09 09:11:33 -05'00'

Chancellor



Board Order

Title: Authorization to Enter into Agreement with Tarrant County Medical Examiner's Office for Joint Providership of Continuing Medical Education

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

Whereas, Tarrant County Medical Examiner's Office Fort Worth determined that providing continuing medical education (CME) in-house to their physicians is an important employment benefit, and

Whereas, UNTHSC Professional and Continuing Education (PACE) is a nationally recognized CME provider and proposes to provide continuing education credit to the Medical Examiner's programs,

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

1. Authorization for UNTHSC to enter into an agreement with Tarrant County Medical Examiner's Office for joint providership of continuing medical education.
-

VOTE: _____ ayes _____ nays _____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



Title: Authorization to Enter into Agreements with Tarrant County Public Health for Continuing Education

Background:

Tarrant County Public Health (TCPH) requests UNTHSC Professional and Continuing Education (PACE) to provide continuing education credit to those attending its educational offerings designed to inform its staff on the most up-to-date topics affecting the healthcare of the citizens of Fort Worth. TCPH requests PACE's services in the following two programs (1) Regularly Scheduled Education Series for 12, 1 hour programs on the ongoing assessed educational needs and up-to-date topics for TCPH nurses to close healthcare gaps in Tarrant County, and (2) a one-day staff education day for staff nurses, physicians and allied health professionals on four topic areas affecting the healthcare of the citizens of Fort Worth: Lightning injuries; Disaster response preparation and supply planning; Elder care; and Medical ethics.

Financial Analysis/History:

The services will be separated in two separate contracts, each including a \$1,800.00 payment by Tarrant County to UNTHSC for PACE services.

Gregory R. Anderson
Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, o=University of North Texas Health Science Center, ou=Executive Vice President/CFO, email=gregory.anderson@unthsc.edu, c=US
Date: 2017.08.03 09:51:12 -05'00'

Institution Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untssystem.edu, c=US
Date: 2017.08.07 18:09:15 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untssystem.edu, c=US
Date: 2017.08.08 15:55:57 -05'00'

Vice Chancellor/General Counsel

Schedule:

The programs will be offered between October 2017 and September 2018. Each \$1,800.00 will be paid within 30 days of invoice receipt.

Recommendation:

It is recommended that the Board of Regents authorize and approve the execution of the contracts for PACE services between TCPH and UNTHSC.

Recommended By:

Clair Peel

Interim Provost

Michael R.
Williams

Digitally signed by Michael R. Williams
DN: cn=Michael R. Williams, o=UNTHSC,
ou=President,
email=michael.williams@unthsc.edu, c=US
Date: 2017.08.03 11:25:01 -05'00'

President

Lee
Jackson

Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT
System, ou=Office of the
Chancellor,
email=lee.jackson@untsystem.edu,
c=US
Date: 2017.08.09 09:12:21 -05'00'

Chancellor



Board Order

Title: Authorization to Enter into Agreements with Tarrant County Public Health for Continuing Education

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

Whereas, Tarrant County Public Health (TCPH) and UNTHSC partner on programs that improve patient health in Tarrant County, and

Whereas, UNTHSC Professional and Continuing Education (PACE) work hand-in-hand with TCPH to offer the highest level of educational opportunities that benefit nurses, physicians and all allied health professionals who serve the citizens of Fort Worth, and

Whereas, UNTHSC PACE proposes to provide continuing education credit to those attending the following TCPH programs:

1. Regularly Scheduled Education Series (RSS) for 12, 1 hour programs on the ongoing assessed educational needs and up-to-date topics for Tarrant County Public Health nurses to close healthcare gaps in Tarrant County.
2. A one-day staff education day for staff nurses, physicians and allied health professionals on four topic areas affecting the healthcare of the citizens of Fort Worth: Lightning injuries; Disaster response preparation and supply planning; Elder care; and Medical ethics.

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

1. Execution of agreements with Tarrant County for continuing education credits to TCPH staff nurses and allied health professionals attending the continuing education programs.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents

Board Briefing



Committee: Consent

Date Filed: July 7, 2017

Title: Authorization to Execute an Agreement between UNTHSC and Tarrant County to Provide Physician Services for the Tuberculosis Elimination Program of the Tarrant County Public Health Department

Background:

The Tarrant County Public Health Department (TCPH) administers a Tuberculosis Elimination Program (hereafter referred to as the "*TB Program*"). Tarrant County wishes to renew the contract with UNTHSC for UNTHSC physicians to continue to provide medical coverage for the TB Program. The contracted services also include approving and updating annually the evaluation and treatment protocols for the program, oversight of TB Program staff involved in the screening, evaluation and treatment of clients, and providing medical diagnostic and treatment services for refugees as well as person with, suspected to have, or who have been exposed to tuberculosis.

Financial Analysis/History:

This contract between UNTHSC and the Tarrant County Public Health Department Tuberculosis Elimination Program has been in effect since October 1, 2009. This agreement has been renewed annually.

Tarrant County contracts for staff physician services for the Tuberculosis Elimination Program at a rate of \$110.00 per hour, not to exceed \$228,800.00 for the contract year. Total direct and indirect cost for the provider, Dr. George Samuel is \$256,000; the balance is covered by faculty stipend and a research project at Tarrant County Public Health.

Gregory R. Anderson
Digitally signed by Gregory R. Anderson
DN: cn=Gregory R. Anderson, o=University of North Texas Health Science Center, ou=Executive Vice President/CFO, email=gregory.anderson@unthsc.edu, c=US
Date: 2017.08.03 09:51:44 -05'00'

Institution Chief Financial Officer

Janet Waldron
Digitally signed by Janet Waldron
DN: cn=Janet Waldron, o=UNT System, ou=Vice Chancellor for Finance, email=janet.waldron@untsystem.edu, c=US
Date: 2017.08.07 18:09:59 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Nancy S. Footer
Digitally signed by Nancy S. Footer
DN: cn=Nancy S. Footer, o=University of North Texas System, ou=Office of General Counsel, email=nancy.footer@untsystem.edu, c=US
Date: 2017.08.08 15:56:49 -05'00'

Vice Chancellor/General Counsel

Schedule: Effective 10/1/2017 through 9/30/2018

Recommendation:

It is recommended that the Board of Regents authorize and approve the execution of the contract between UNTHSC and Tarrant County to provide physician services for the Tuberculosis Elimination Program of the Tarrant County Public Health Department.

Recommended By:

Gregory R. Anderson
UNTHSC Chief Financial Officer

Michael R. Williams
Digitally signed by Michael R. Williams
DN: cn=Michael R. Williams, o=UNTHSC, ou=President, email=michael.williams@unthsc.edu, c=US
Date: 2017.08.03 11:25:34 -05'00'

President

Lee Jackson
Digitally signed by Lee Jackson
DN: cn=Lee Jackson, o=UNT System, ou=Office of the Chancellor, email=lee.jackson@untsystem.edu, c=US
Date: 2017.08.09 09:13:42 -05'00'

Chancellor

Attachments Filed Electronically:

- Contract for Services "Tarrant County TB Physician Contract 2017-18"



Board Order

Title: Authorization to Execute an Agreement between UNTHSC and Tarrant County to Provide Physician Services for the Tuberculosis Elimination Program of the Tarrant County Public Health Department

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

Whereas, UNTHSC has the resources to provide physician services to treat and manage Tuberculosis, and

Whereas, Tarrant County wishes UNTHSC to provide physician services, in its Tuberculosis Elimination Program at the Tarrant County Public Health Department,

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

Execution of an agreement between UNTHSC and Tarrant County to provide physician services for the Tuberculosis Elimination Program of the Tarrant County Public Health Department.

VOTE: ____ ayes ____ nays ____ abstentions

BOARD ACTION:

Attested By:

Approved By:

Rosemary R. Haggett, Secretary
Board of Regents

Brint Ryan, Chairman
Board of Regents



STATE OF TEXAS §
§
COUNTY OF TARRANT §

CONTRACT FOR SERVICES

BACKGROUND

This contract for services is between Tarrant County, Texas ("COUNTY") and University of North Texas Health Sciences Center at Fort Worth ("PROVIDER") pursuant to Chapter 791 of the Texas Government Code (Interlocal Cooperation Act) for the purpose of providing medical physician consultant services. The Commissioners Court finds that this contract serves a public purpose and serves the public welfare of the citizens of Tarrant County, Texas.

CONTRACT FOR SERVICES

1. SCOPE OF SERVICES

PROVIDER will perform:

- 1.1 Upon approval of the County Public Health Director, PROVIDER shall appoint physicians as needed to serve as staff physician for the Tuberculosis Elimination Program (hereafter referred to as "TB") for approximately forty (40) hours per week and for additional hours as needed from time to time to assure adequate medical coverage; such services also include approving and updating annually the evaluation and treatment protocols for the program; oversee TB staff in the screening, evaluation and treatment of clients; and, provide medical diagnostic and treatment services for refugees, persons with, suspected to have, or who have been exposed to tuberculosis.
- 1.2 PROVIDER shall ensure that all physician service providers maintain adequate professional liability insurance coverage, evidence of which is to be submitted in advance to COUNTY.
- 1.3 In addition, PROVIDER shall ensure that all physician service providers have been fully credentialed and privileged by PROVIDER, evidence of which is to be submitted in advance to COUNTY.

Furthermore, PROVIDER affirms that there are currently no restrictions on the health professional license(s) of any of PROVIDER's associates or employees who might perform services to COUNTY. PROVIDER agrees to notify COUNTY within seven days of any adverse actions pending or taken against such license(s) and to immediately

suspend providing services specified in this agreement until COUNTY determines whether or not to continue this agreement.

- 1.4 Furthermore, PROVIDER shall ensure that the COUNTY has been provided full contact information for all physician service providers who have been fully credentialed and privileged by PROVIDER to provide the services as described therein, evidence of which is to be submitted in advance to COUNTY.
- 1.5 COUNTY shall maintain a schedule of the days and hours PROVIDER is to provide services and submit in advance (60 [sixty] days) any permanent changes to PROVIDER. PROVIDER shall ensure physician services providers maintain the agreed upon schedule without interruption or absence. PROVIDER shall notify the COUNTY in advance (60 [sixty] days) if the PROVIDER via their physician service providers is unable to maintain the agreed schedule. COUNTY and PROVIDER further agree to make mutual accommodations for schedule variations that might arise from time to time. COUNTY and PROVIDER further agree that services are not expected on days approved as holidays by the Tarrant County Commissioners Court.

2. TERM

This contract begins on October 1, 2017 and concludes on September 30, 2018.

3. COST

COUNTY agrees to pay PROVIDER at a rate of \$110.00 per hour, not to exceed \$228,800.00. Monthly payments will be issued pending verification of the hours of work performed. PROVIDER via their physician service providers will submit Time and Attendance forms countersigned by the appropriate and applicable Tarrant County Public Health Division Manager on a monthly basis to the Tarrant County Public Health Department, Attention: Associate Director, 1101 S. Main Street, Fort Worth, Texas 76104, detailing the hours of services provided to COUNTY:

- 3.1. PROVIDER will bill for services performed in accordance with this contract;
- 3.2. PROVIDER will send a monthly invoice by 15th of each month to Tarrant County Public Health, 1101 South Main, Suite 2421, Fort Worth, Texas 76104;
- 3.3. PROVIDER's invoice will detail the services provided;

4. FINANCIAL RESPONSIBILITY

PROVIDER is responsible for its incurred expenses in performing this contract unless otherwise noted. To the extent permitted by the Constitution and the laws of the State of Texas, PROVIDER indemnifies and holds harmless the COUNTY against any and all claims, lawsuits, settlements, judgments, costs, penalties and expenses, including attorney's fees, with respect to PROVIDER's performance of this contract.

5. AGENCY-INDEPENDENT CONTRACTOR

PROVIDER is an independent contractor. COUNTY will not direct the PROVIDER in the details of performing its duties. PROVIDER and its employees are not agents of the COUNTY. COUNTY and its employees are not agents of PROVIDER. This contract does not entitle PROVIDER to any benefit, privilege or other amenities of employment with the COUNTY. This contract does not entitle COUNTY to any benefit, privilege or other amenities of employment with the PROVIDER.

6. ASSIGNMENT

Neither party may assign this contract without the prior written consent of the other party.

7. THIRD PARTY BENEFICIARY EXCLUDED

This contract does not protect any specific third party. The intent of this contract excludes the idea of a suit by a third party beneficiary. The parties to this contract do not consent to the waiver of sovereign immunity under Texas law to the extent either party may have that immunity under Texas law.

8. MISCELLANEOUS

This contract supersedes all prior representations. The parties may amend this contract by subsequent written amendments. The parties will not amend this contract orally. The laws of the State of Texas govern this contract. Venue for any action regarding this contract must be in the district courts of Tarrant County, Texas.

9. TERMINATION

Either party may terminate this contract without cause by:

- 9.1. Providing written notice to the other party at least 30 days prior to the date of termination;
- 9.2. Providing, in the written notice, the date of termination;
- 9.3. Sending the written notice by certified mail, return receipt requested to the party at its address.

9. 1295

PROVIDER acknowledges that it is a “governmental entity” and not a “business entity” as those terms are defined in Texas Gov’t Code § 2252.908, and therefore, no disclosure of interested parties pursuant to Texas Gov’t Code § 2252.908 is required

10. PARTIES' ADDRESSES

COUNTY:

COUNTY
Tarrant County Public Health
1101 South Main, Suite 2421
Fort Worth, TX 76104

PROVIDER:

PROVIDER
University of North Texas Health
Sciences Center at Fort Worth (UNTHSC)
3500 Camp Bowie Blvd.
Fort Worth, TX 76107

COUNTY OF TARRANT
STATE OF TEXAS

PROVIDER

B. Glen Whitley
County Judge

Don Peska, DO, MEd, Dean, TCOM
Texas College of Osteopathic Medicine
Chief Medical Officer, UNTHHealth
University of North Texas Health Science Center

APPROVED on this _____ day of _____, 2017, by Commissioners Court.

Court Order No. _____

APPROVED AS TO FORM:

Criminal District Attorney's Office*

*By law, the Criminal District Attorney's Office may only approve contracts for its clients. We reviewed this document as to form from our client's legal perspective. Other parties may not rely on this approval. Instead those parties should seek contract review from independent counsel.

CERTIFICATION OF AVAILABLE FUNDS: \$ _____

Tarrant County Auditor



**DEBARMENT/SUSPENSION CERTIFICATION
INDICATING THAT YOU ARE IN COMPLIANCE
WITH THE BELOW FEDERAL EXECUTIVE ORDER**

DEBARMENT:

Federal Executive Order (E.O.) 12549 "Debarment and Suspension" requires that all contractors receiving individual awards, using federal funds, and all sub-recipients certify that the organization and its principals are not debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency from doing business with the Federal Government.

Your signature certifies that neither you nor your principal is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

Name: _____

Company: University of North Texas Health Sciences Center at Fort Worth

Address: 3500 Camp Bowie Boulevard

Address: Fort Worth, TX 76107

Phone: _____ Fax: _____

E-mail: _____

Signature

Date



Central Contractor Registration & DUNS

Central Contractor Registration (CCR) -

Identifying to first-tier sub recipients the requirement to register in the Central Contractor Registration, including obtaining a Dun and Bradstreet Data Universal Numbering System (DUNS) number, and maintain the currency of that information (Section 1512(h) of ARRA, and 2 CFR section 176.50(c).

BUSINESS OR ORGANIZATION NAME:

Central Contractor Registration (CCR) Expiration Date: _____

DUNS Number: _____

Your signature certifies that the above number is assigned to the organization listed above.

_____ (Name)

_____ (Company/Organization)

_____ (Address)

_____ (City, State, Zip Code)

PHONE _____ FAX _____

EMAIL _____

_____ Signature _____ Date