Appendix - May 13, 2021 Regular Board of Regents Meeting

UNT SYSTEM ACRONYM LIST

AUDIT AND FINANCE COMMITTEE

Quarterly Financial Update - Backup

UNTS Consolidated Compliance Background Report

STUDENT SUCCESS, ACADEMIC AND CLINICAL AFFAIRS COMMITTEE

Agencies That Accredit UNT World Programs

UNT Doctor of Business Administration Proposal

UNT System Acronym List

ACT	American College Testing: a standardized test used for college admissions
ASF	Assignable Square Feet
AUX	Auxiliary Reserves
BOR	Board of Regents
BSC	Business Service Center
BSS	Business Support Services
CAE	Chief Audit Executive
CAFR	Comprehensive Annual Financial Report
CIA	Chief Internal Auditor
CIP	Capital Improvement Plan
CIP	Construction in Progress
CM	Construction Manager
CMAR	Construction Manager at Risk
CO	Change Order
COL	College of Law
CP	Commercial Paper
DEI	Diversity, Equity and Inclusion
FTE	Full Time Equivalent: generally used in reference to Full Time Student Equivalent (FTSE) but can also be used in reference to Full Time Faculty Equivalent (FTFE). See FTSE or FTFE below for definitions.
FTIC	First Time in College: a student who has never enrolled in a college or university. Students who have earned college credits only through dual credit courses are still considered FTIC.

FTSE   Full Time Student Equivalent: is computed by dividing headcount enrollment by a set number of semester credit hours based on the rank of the student (Undergraduate FTSE = 15 SCH; Masters and Special Professional FTSE = 12 SCH; Doctoral FTSE = 9 SCH). FTSE is generally lower than headcount enrollment because of part time students.

FTFE   Full Time Faculty Equivalent: a measure of instructional faculty calculated from the percent of time directly related to teaching.

FY   Fiscal Year

GAI   General Academic Institution

GMAT   Graduate Management Admission Test: a standardized test for admission into graduate programs of business schools.

GME   Graduate Medical Education: clinical training following graduation from medical school leading to specialty certification. Texas, like most states, requires one year of graduate medical education to be eligible for state licensure. Also called residency training.

GSF   Gross Square Feet

HEAF   Higher Education Assistance Fund (also known as HEF)

HERRF   Higher Education Emergency Relief Fund

HR   Housing Reserve

HR   Human Resources

HRI   Health-Related Institution

HSC   Health Science Center

HUB   Historically Underutilized Business

IA   Internal Audit

LAR   Legislative Appropriations Request

MCAT   Medical College Admission Test: a standardized test for admission into medical school

MP   Master Plan

NACUBO   National Association of College and University Business Officers

OBS   Office of the Board Secretary

OGC   Office of General Counsel

OGCA   Office of Grants & Contract Administration

OFPC   Office of Facilities Planning and Construction

P3   Public-Private Partnership (also known as PPP)

PM   Project Manager

PP   Private Placement

PUF   Permanent University Fund: a sovereign wealth fund created by the State of Texas to support higher education at the University of Texas System and Texas A&M System, but not other public higher education systems or institutions in Texas

PSAT   Preliminary Scholastic Aptitude Test: used to prepare high school students who plan to take the SAT for admission to college. (See SAT below)

QEP   Quality Enhancement Plan: required for reaffirmation of accreditation by SACSCOC. The QEP describes a carefully designed and focused course of action that addresses a well-defined topic or issue(s) related to enhancing student learning.

RB   Revenue Bonds

RFP   Request for Proposal

RFQ   Request for Qualifications

RFS   Revenue Financing System Bonds

RPTC   Reappointment, Promotion, and Tenure Committee

RR   Regents Rules

SACS   Southern Association of Colleges and Schools: a shortened abbreviation for "SACSCOC." (See below).

SACSCOC   Southern Association of Colleges and Schools Commission on Colleges: the recognized regional accrediting body for institutions of higher education that

award associate, baccalaureate, masters or doctoral degrees in eleven U.S. Southern states.

SAT Scholastic Aptitude Test: A standardized test for college admissions.

SCH Semester Credit Hour: the unit of measuring educational credit, usually based on the number of classroom/instructional hours per week throughout a term.

SF Student Fees

SF Square Feet

SFP Statement of Financial Position

SRECNP Statement of Revenues, Expenses and Changes in Net Position

STEM Science, Technology, Engineering and Math

TAMS Texas Academy of Mathematics and Science: the nation's first early college entrance residential program for gifted high school aged students

THC Texas Historical Commission

THECB Texas Higher Education Coordinating Board: a nine member board appointed by the Governor that provides coordination of higher education in Texas and was created by the Texas Legislature in 1965.

TRB Tuition Revenue Bond

T/TT Tenured/Tenure Track Faculty: faculty who hold the ranks of assistant professor, associate professor, and professor prior to or after the awarding of tenure.

VC Vice Chancellor

Backup Materials

All $ presented as thousands

Q2 Revenue

2.1% ahead

- Total revenue ahead of plan by $12.7m/2.1%.
  - Tuition and Fees ahead of plan by $20.1m/7.0%; spring enrollment up 2.3% in SCH;
  - Sale of Goods and Services behind plan by $23.2m/28.4%; housing & dining, parking, and on-campus retail lower due to reduced campus presence for COVID-19;
  - Grants and Contracts ahead plan by $7.0m/10.6% due to Governor's Emergency Education Relief fund (GEER).

On plan

Q2 Expenses

- Total expenses on plan.
  - Personnel Costs ahead of plan by $5.5m/2.6%;
  - Maintenance & Operation Costs behind plan by $2.3m/4.1% due to COVID-19 related cost curtailment;
  - Scholarships & Aid behind plan by $5.7m/9.0% due to discounts being recorded in Net Tuition.

	FY21 Q2 Budget	FY21 Q2 Actuals	Actual vs. Budget Variance ($000's)	Variance (%)
REVENUES				
Net Tuition and Fees	286,677	306,807	20,130	7.0%
Sales of Goods and Services	82,022	58,761	(23,261)	-28.4%
Grants and Contracts	65,879	72,863	6,983	10.6%
State Appropriations	121,088	129,165	8,077	6.7%
All Other Revenue	45,373	46,138	765	1.7%
Total Revenues	**601,039**	**613,734**	**12,695**	**2.1%**
EXPENSES				
Personnel Costs	213,791	219,287	5,496	2.6%
Maintenance & Operation Costs	54,619	52,361	(2,257)	-4.1%
Scholarships, Exemptions and Financial Aid	63,565	57,862	(5,703)	-9.0%
All Other Expenses	7,167	8,233	1,066	14.9%
Total Expenses	**339,141**	**337,742**	**(1,399)**	**-0.4%**
TRANSFERS				
Total Net Transfers	**(71,395)**	**(84,342)**	**(12,947)**	**-18.1%**
Estimated Budgeted Impact on Fund Balances	**190,503**	**191,650**	**1,147**	**0.6%**

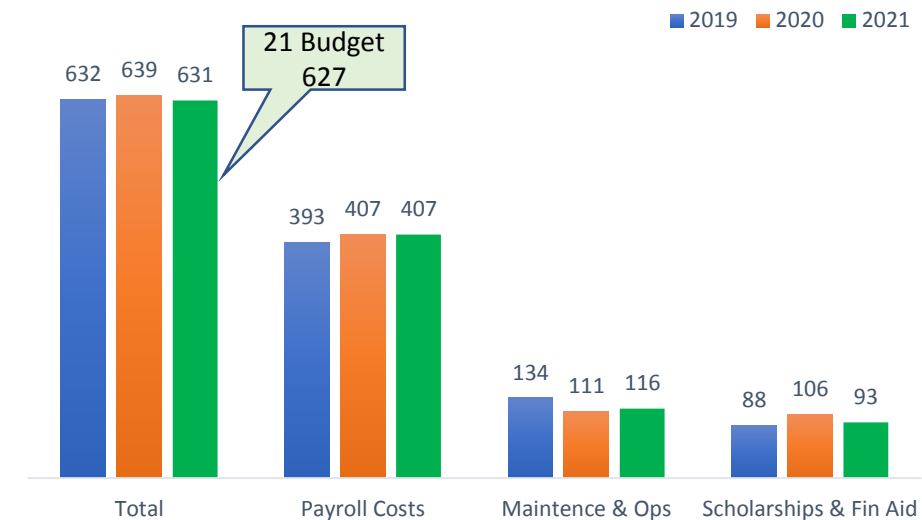*Note: These are the main drivers, and do not total

- **Projected Revenue:**
  - Revenue under prior year by $9m;
  - Tuition and Fees above FY20 by $15m;
  - Sale of Goods $15m less than prior year due to continued COVID-19 impact on campus presence;
  - Contracts & grants less than prior year due to federal funding that inflated FY20.

Legend: 2019, 2020, 2021

21 Budget 740

	Total	Tuition & Fees	Sale of Goods	Grants and Contracts
2019	742	327	104	115
2020	767	348	83	134
2021	758	363	68	129
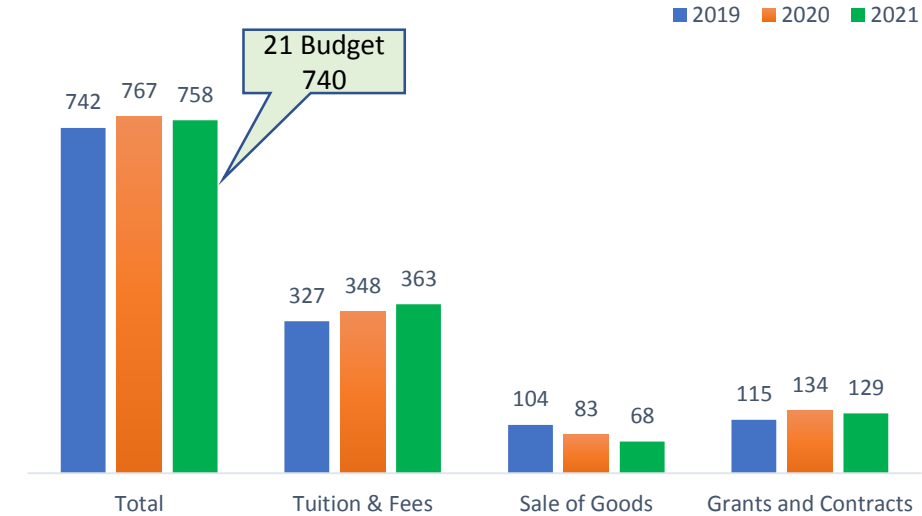
- **Projected Expenses:**
  - Expenses under prior year by $8m;
  - Payroll costs flat to FY20;
  - Maintenance & Operations above prior year due to February's Winter Storm damage;
  - Scholarships & Aid projected behind prior year by $13m due to CARES Act funding in FY20.

Legend: 2019, 2020, 2021

21 Budget 627

	Total	Payroll Costs	Maintence & Ops	Scholarships & Fin Aid
2019	632	393	134	88
2020	639	407	111	106
2021	631	407	116	93

All $ presented as thousands

Q2 Revenue

23.1% behind

- Total revenue behind plan by $43.8m/23.1%.
  - Tuition and Fees behind plan by $7.9m/31.3%;
  - Grants and Contracts ahead of plan by $6.4m/34.3% due to new grant activity;
  - State Appropriations behind plan by $43.6m/44.1% caused by reporting change to be recorded evenly over each quarter.

Q2 Expenses

On Plan

- Total expenses is on plan.
  - Personnel Costs slightly ahead of plan;
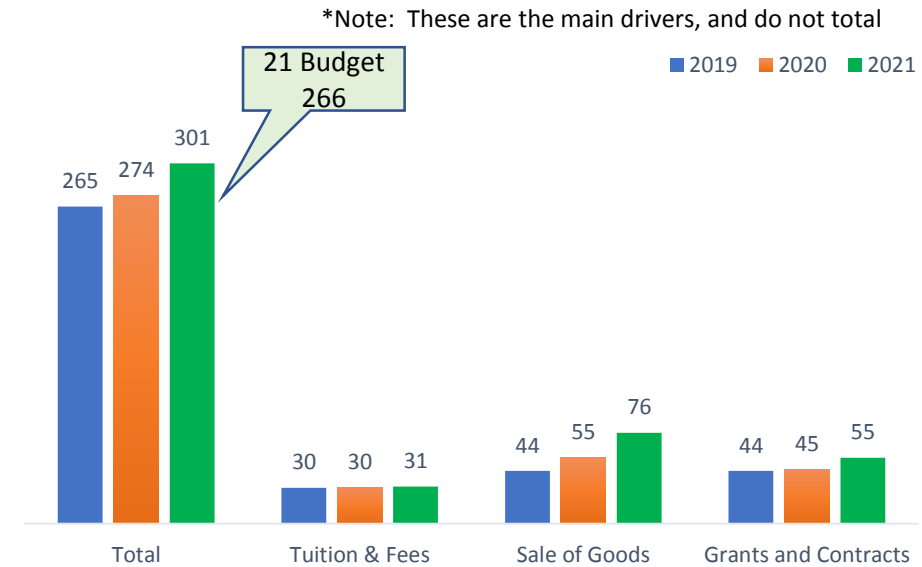 - Maintenance & Operations are behind plan due to continued cost curtailment from COVID-19.

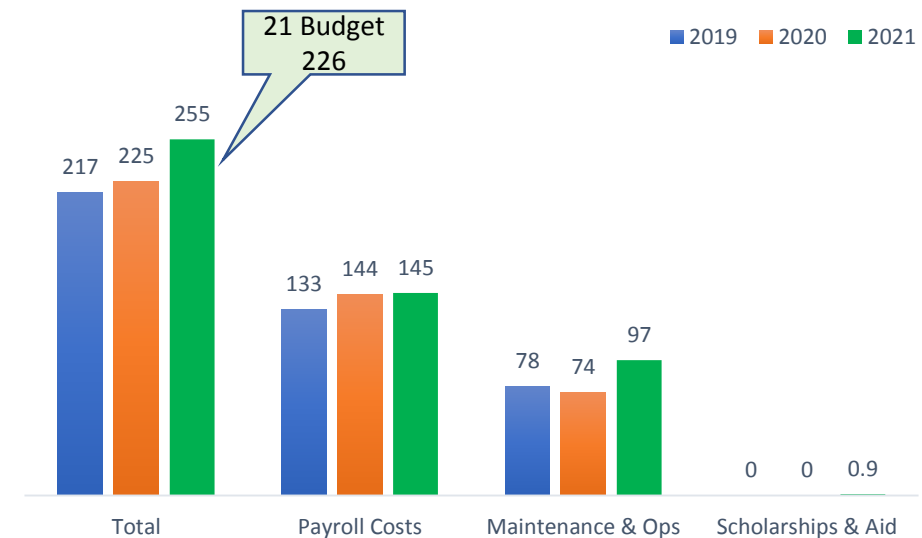|	FY21 Q2 Budget	FY21 Q2 Actuals	Actual vs. Budget Variance ($000's)	Actual vs. Budget Variance (%)
REVENUES				
Net Tuition and Fees	25,113	17,262	(7,850)	-31.3%
Sales of Goods and Services	23,100	24,573	1,473	6.4%
Grants and Contracts	18,525	24,875	6,350	34.3%
State Appropriations	98,922	55,345	(43,576)	-44.1%
All Other Revenue	24,183	23,938	(245)	-1.0%
Total Revenues	**189,842**	**145,994**	**(43,848)**	**-23.1%**
EXPENSES				
Personnel Costs	70,463	72,071	1,609	2.3%
Maintenance & Operation	30,688	28,499	(2,189)	-7.1%
Scholarships, Exemptions and Financial Aid	313	0	(313)	-100.0%
All Other Expenses	3,725	5,268	1,543	41.4%
Total Expenses	**105,187**	**105,838**	**650**	**0.6%**
TRANSFERS				
Total Net Transfers	**(18,587)**	**(23,570)**	**(4,983)**	**26.8%**
Estimated Budgeted Impact on Fund Balances	**66,068**	**16,586**	**(49,482)**	**-74.9%**

*Note: These are the main drivers, and do not total

- Projected Revenue:
  - Total Revenue projecting $27m above prior year;
  - Tuition & Fees are flat to prior year;
  - Sale of Goods and Services projecting above prior year due to $25m in revenue related to Tarrant County vaccine contract;
  - Grants and Contracts significantly above prior year due to new grant activity.

21 Budget 266

Legend: 2019, 2020, 2021

	2019	2020	2021
Total	265	274	301
Tuition & Fees	30	30	31
Sale of Goods	44	55	76
Grants and Contracts	44	45	55

- Projected Expenses:
  - Total Expenses projecting $30m above prior year;
  - Payroll Costs are flat to prior year;
  - Maintenance & Operations projecting higher due to $23m in expenses related to the Tarrant County vaccine contract (offset by revenue).

21 Budget 226

Legend: 2019, 2020, 2021

	2019	2020	2021
Total	217	225	255
Payroll Costs	133	144	145
Maintenance & Ops	78	74	97
Scholarships & Aid	0	0	0.9

All $ presented as thousands

Q2 Revenue

6.3% ahead

- Total revenue ahead of plan by $3.9m/6.3%.
  - Tuition and Fees ended ahead of budget by $0.6m/2.6% despite negative impacts due to COVID-19;
  - Sale of Goods and Services are ahead of plan;
  - State Appropriations are above Q2 budget due to state mandated lapse being recorded as transfer, instead of revenue as budgeted (net zero impact).

11% behind

Q2 Expenses

- Total expenses behind plan by $4.0m/11%.
  - Personnel Cots are above plan by $1.3m/6.8% in order to support enrollment growth;
  - Maintenance & Operations are behind plan due to continued cost curtailment from COVID-19;
 - Financial Aid ended Q2 behind plan by $3.6m/32.7%

	FY21 Q2 Budget	FY21 Q2 Actuals	Actual vs. Budget	
			Variance ($000's)	Variance (%)
REVENUES				
Net Tuition and Fees	24,094	24,711	617	2.6%
Sales of Goods and Services	661	1,114	453	68.4%
Grants and Contracts	9,366	8,761	(604)	-6.5%
State Appropriations	24,920	28,315	3,395	13.6%
All Other Revenue	3,912	3,989	77	2.0%
Total Revenues	**62,953**	**66,890**	**3,938**	**6.3%**
EXPENSES				
Personnel Costs	18,913	20,204	1,291	6.8%
Maintenance & Operation	5,697	4,885	(812)	-14.3%
Scholarships, Exemptions and Financial Aid	11,108	7,478	(3,630)	-32.7%
All Other Expenses	921	28	(893)	-96.9%
Total Expenses	**36,639**	**32,595**	**(4,045)**	**-11.0%**
TRANSFERS				
Total Net Transfers	**(10,694)**	**(12,204)**	**(1,510)**	**-14.1%**
Estimated Budgeted Impact on Fund Balances	**15,620**	**22,092**	**6,473**	**-41.4%**

UNT SYSTEM

*Note: These are the main drivers, and do not total

- **Projected Revenue:**
  - Total Revenue above prior year by $7m;
  - Tuition & Fees revenue projecting above prior year despite COVID-19 impact;
  - Sales of Goods & Services negatively impacted by COVID-19 in student housing;
  - Grants & Contracts over prior year due to CARES Act relief funds for student aid.
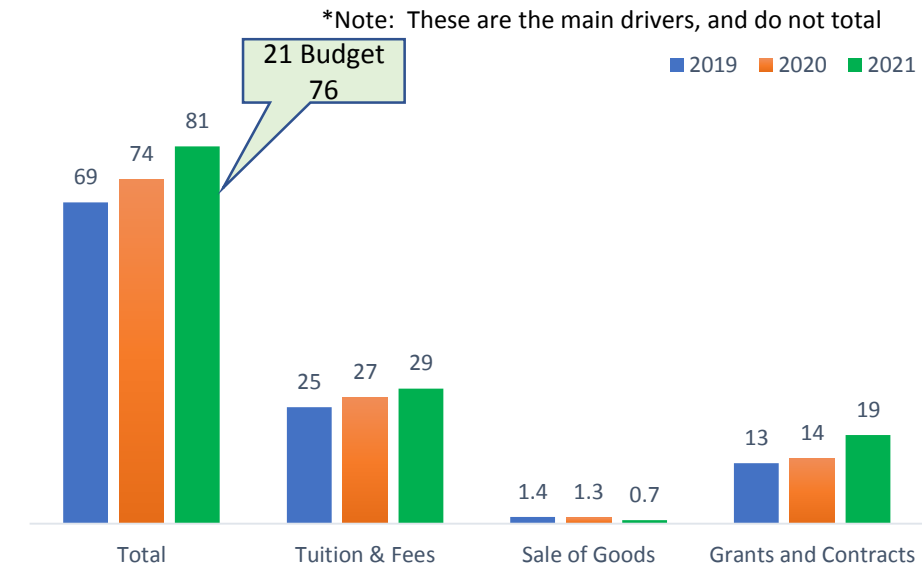
- **Projected Expenses:**
  - Total Expenses over FY20 actuals by $5m;
  - Payroll Costs higher than prior year by $3m anticipating needs for a rapidly growing institution;
  - Maintenance & Operations projecting higher than prior year by $3m due to growth of institution and recovery from COVID-19;
  - Scholarships & Aid flat to prior year.
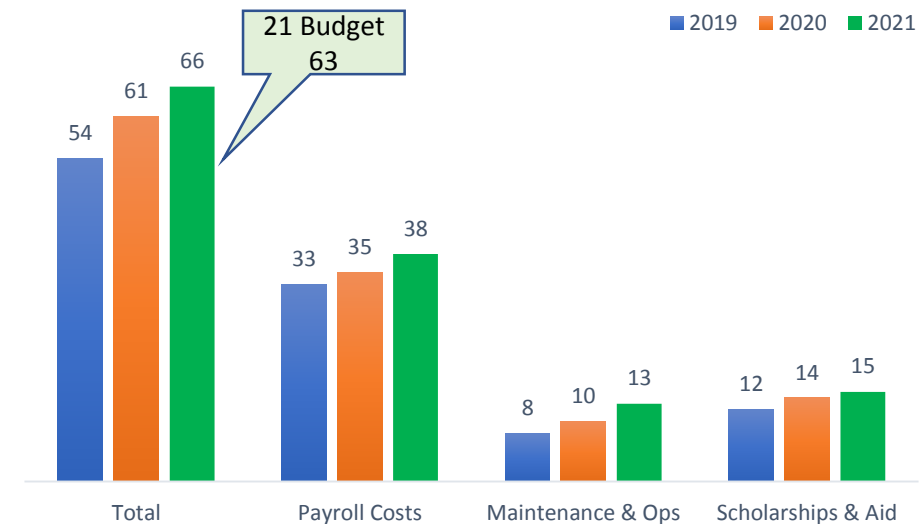
Q2 Revenue

On plan

- Total revenue on plan.
  - Sales of Goods are ahead of plan by 3.2%;
  - State Appropriations are slightly over plan.

Q2 Expenses

1.1% behind

- Total expenses behind plan by $0.3m/1.1%.
  - Personnel Costs are slightly behind plan;
 - All other expenses are behind plan by 7.3% due to COVID-19 cost containment actions.

All $ presented as thousands

|	FY21 Q2 Budget	FY21 Q2 Actuals	Actual vs. Budget Variance ($000's)	Variance (%)
REVENUES				
Net Tuition and Fees	0	0	0	0.0%
Sales of Goods and Services	1,429	1,475	46	3.2%
Grants and Contracts	0	0	0	0.0%
State Appropriations	7,034	7,103	69	1.0%
All Other Revenue	203	111	(92)	-45.1%
Total Revenues	**8,665**	**8,689**	**24**	**0.3%**
EXPENSES				
Personnel Costs	21,902	21,639	(263)	-1.2%
Maintenance & Operation	6,739	6,780	41	0.6%
Scholarships, Exemptions and F	0	0	0	0.0%
All Other Expenses	1,741	1,615	(127)	-7.3%
Total Expenses	**30,382**	**30,033**	**(349)**	**-1.1%**
TRANSFERS				
Total Net Transfers	**27,318**	**27,480**	**163**	**0.6%**
Estimated Budgeted Impact on Fund Balances	**5,601**	**6,136**	**535**	**9.6%**

*Note: These are the main drivers, and do not total

- **Projected Revenue:**
  - Total Revenue above prior year by $2m;
  - Sale of Goods & Services projecting above prior year due to additional revenue from Dallas ISD;
  - State Appropriations higher than FY20 actuals by $2m due to adjustment from the state on benefit reimbursements in FY20.
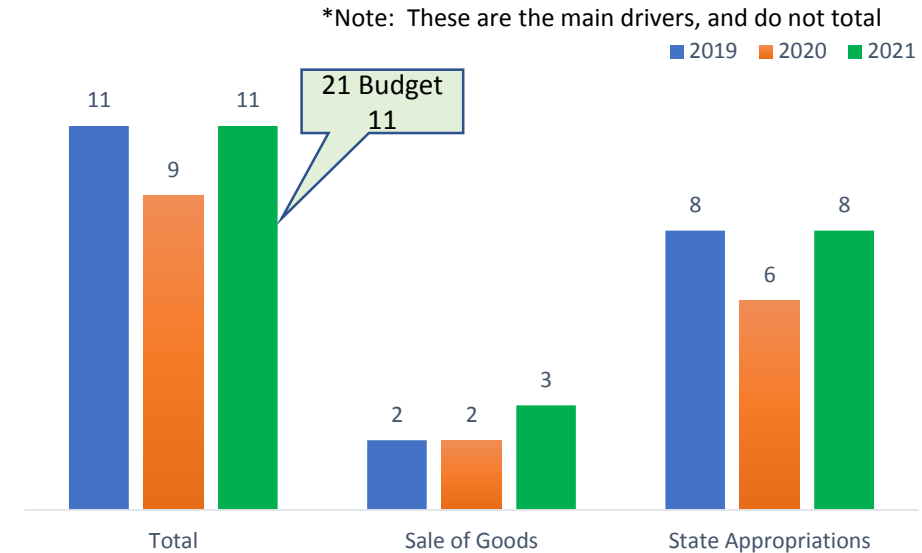
- **Projected Expenses:**
  - Total expenses under prior year by $2m;
  - Payroll Costs slightly under prior year; limited hiring still in effect;
  - Maintenance & Operations significantly under prior year due to further cost control measures.
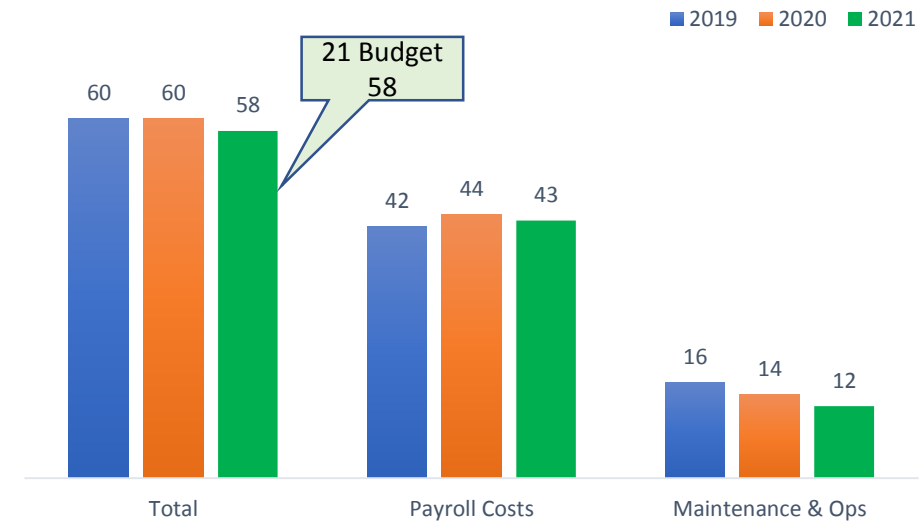
Background Report

Committee: Audit & Finance

Date Filed: April 27, 2021

Title: UNT System Consolidated Quarterly Compliance Report December 2020-February 2021

Background:

This report presents the quarterly compliance program activities for the University of North Texas System, University of North Texas, University of North Texas Health Science Center and the University of North Texas at Dallas from December 1, 2021 through February 28, 2021. Regular reporting of compliance program content and operations 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 activities for all UNT System components. This report reflects the actions that management and each compliance function has taken to manage their highest compliance risks.

Financial Analysis/History:

This is a report item only.

Dan Tenney
Digitally signed by Dan Tenney
Date: 2021.04.29 16:10:17 -05'00'

Vice Chancellor for Finance

Legal Review:

This item has been reviewed by General Counsel.

Alan Stucky
Digitally signed by Alan Stucky
Date: 2021.04.29 18:16:08 -05'00'

Vice Chancellor/General Counsel

Schedule: N/A

No action required. Information only. Submitted by:

Tim Willette

Chief Compliance Officer

Ninette Caruso
Digitally signed by Ninette Caruso
Date: 2021.05.03 09:53:12 -05'00'

Chief Audit Executive

Lesa B. Roe
Digitally signed by Lesa B. Roe
Date: 2021.04.30 14:20:57 -05'00'

Chancellor

Attachments Filed Electronically:

- UNT System Consolidated Quarterly Compliance Report: December 2020-February 2021

OFFICE OF INSTITUTIONAL COMPLIANCE

QUARTERLY COMPLIANCE REPORT

FY21 Q2

SUBMITTED BY

TIM WILLETTE

CHIEF COMPLIANCE OFFICER

BOARD OF REGENTS MEETING

MAY 13TH & MAY 14TH, 2021

Unless Otherwise Noted: Activities reflected are as of February 28th, 2021

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Introduction

The Office of Institutional Compliance (OIC) at the University of North Texas (UNT) System Administration functions to assist in regulatory oversight, instituting a compliance program that fosters a culture of ethical, lawful, and responsible conduct of every employee. To that end; the OIC identifies, assesses, and monitors a wide range of existing and emerging compliance risks. Working closely with leadership is critical, requiring the Chief Compliance Officer (CCO) to actively engage each of the organizational leaders serving on the Chancellor's Cabinet, as well as key stakeholders at each of the three institutions. The organizational structure of the UNT System Administration Compliance and Integrity Program is provided in Appendix A.

Executive Summary

Each Chief Compliance Officer (CCO) reports to the Board of Regents (Board), at a minimum, quarterly. These reports update Board members on the effectiveness of the Compliance & Integrity Program at each of the institutions, as well as their own unique compliance concerns. ***This report summarizes key compliance activities that have taken place during the second quarter (Q2) of Fiscal Year 2021 (FY21) at UNT System Administration. It is divided into six sections with one appendix.***

- Introduction
- Executive Summary
- Compliance and Integrity Program
- FY21 Compliance Risk Work Plan (CRWP) Overview
- FY21 Q2 CRWP Updates
- FY21 Q2 Investigative Activities
- Emerging Risks for FY21

Compliance & Integrity Program

The OIC at UNT System Administration is responsible for maintaining an effective Compliance & Integrity Program that includes, but is not limited to:

1. serving as a resource to address compliance concerns and communicate emerging risks;
2. facilitating the identification, prioritization, and mitigation of compliance risks;
3. assisting in determining risk mitigation strategies and how to measure their effectiveness;
4. continuously monitoring compliance requirements of applicable external authorities and periodically reviewing Regents rules and System regulations;
5. assisting in identifying, assessing, and monitoring training requirements; and
6. pro-actively engaging leadership in post-incident reviews to determine the need to implement corrective actions.

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The primary objective of the Compliance & Integrity Program is to foster a culture of collaborative compliance. The CCO is responsible for managing and overseeing the Compliance & Integrity Program at UNT System Administration.

Since mid-March of 2020, the OIC has focused primarily on those compliance risks associated with the impact of the COVID-19 pandemic. During this quarter, most operations continue to function remotely. UNT System Chancellor Roe continues to hold daily briefings with key stakeholders, sharing information about emerging federal, state, and local requirements. All these requirements affect operations. Having an informed and engaged organization has been key in continuing to meet the mission of the University. This includes communicating an on-going awareness of and adherence to UNT System Regulation 02.1000; Compliance and Integrity Program, as well as the seven Federal Sentencing Guideline Objectives (FSGOs) listed below.

- **Active Oversight**

  The OIC strives to engage leadership in promoting a culture of compliance throughout the University. Meeting weekly, the Chancellor's Cabinet identifies, communicates, and assesses emerging risks. These meetings may include periodic discussions touching on key elements of the CIP, as well as the annual CRWP. Quarterly, the Chancellor's Cabinet, Chancellor's Council, and the Board of Regents, are provided updates of the annual CRWP, along with emerging compliance concerns. ***During this reporting period, the Chancellor and her leadership team continue to meet daily, addressing emerging risks brought about by the evolving impact of the COVID-19 pandemic. All members of the Chancellor's Cabinet provided helpful insights in identifying, prioritizing, and tracking the three key risk focus areas being monitored and reported in the institutional FY21 CRWP.*** The commitment to fostering a culture of compliance remains pervasive throughout all UNT System Administration. ***This includes efforts to match the CRWP to elements of the UNT System Administration Strategic Plan for FY21.*** The OIC is confident that leadership continues to recognize their key role in an effective CIP.

- **Policies, Standards, and Code of Conduct**

  UNT System Administration is committed to implementing and maintaining rules, regulations, and policies that facilitate the detection and prevention of unethical and illegal conduct throughout the UNT System. The rules, regulations, and policies promote integrity, principled behavior, and compliance with federal, state, and local regulations, Regents rules, System regulations, and the standards of all applicable accrediting bodies. ***During FY21 Q2, System Administration regulations and policies continue to be reviewed and updated as needed. This is a part of the migration initiative to the new policy management platform--Policy Tech. All UNT***

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institutions, by the fall of 2021, will use this platform. The CCO continues to work closely with the Policy Manager, as processes and procedures are refined.

- **Education and Training**

    All UNT System Administration employees must successfully complete training related to the CIP, as well as compliance elements that are key in the effective conduct of their position. Additionally, all UNT World employees must successfully complete training and be reminded twice a year of the ways to report suspected misconduct. *From the Internal Audit Review of Senate Bill 20, the OIC at UNT System Administration is taking a closer look at its compliance and ethics training. The report recommended that the following actions be taken:*

    o *Coordinate development of an annual compliance and ethics training curriculum; and*
    o *Establish a process to assign certain compliance and ethics training modules to designated employees, with tools in place to monitor and record compliance.*

    The arrival of a new Vice Chancellor of Human Resources will serve to continue the mitigation efforts in this risk. A review of the institutional compliance and ethics training curricula has been identified as a risk focus area in the FY21 CRWP.

- **Open Communications**

    All UNT System Administration employees must not only be aware of, but also understand the rules that govern their respective roles and the values underpinning UNT World. Stakeholders, both, internal and external, need assurances that UNT System Administration is committed to ethical and responsible behavior. Communication is key to a culture of compliance. *As in Q1, in Q2 the OIC continues to work closely with Communications in providing timely compliance information, including announcements regarding upcoming mandated training. UNT System Administration Marketing and Communications continues to serve a pivotal role in all operations.*

- **Monitoring and Auditing**

    UNT System Administration is committed to continuous monitoring by implementing internal controls that allow for early detection and remediation of non-compliance within an organization. Audit activities serve to help ensure that operational management has in place internal controls that do not improperly bias the assessment of business processes. *During FY21 Q2, the Office of Internal Audit met on several occasions with each institutional CCO to discuss:*

    o *the status of audits;*
    o *emerging risks impacting operations;*

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- o *the risk assessment process; and*
- o *current and upcoming engagements by, both, private and public enterprises.*

The OIC continues to work closely with key stakeholders at System Administration to assist in successfully addressing audit findings and recommendations in a timely and thorough manner.

- **Enforcement Tools**

  UNT System Administration, through the CIP, incorporates measures that help ensure employees understand the consequences of engaging in unethical behavior or participating in non-compliant activities. This includes procedures for enforcing and disciplining employees who violate compliance standards or fail to report non-compliant activities. Disciplinary provisions equitably enforced are critical to the credibility and integrity of the CIP. A summary of investigational activity for FY20 is provided in this report. ***A review of investigation processes continues to be an on-going risk focus area to be included in the campus FY21 CRWP.***

- **Responsive Initiatives**

  Keeping in mind an effective compliance program should be scalable, affordable, feasible, and enforceable, the OIC evaluates the effectiveness of its Compliance & Integrity Program and the seven FSGOs on a regular basis. This evaluation also examines emerging compliance challenges. Providing information to leadership that is relevant and timely is an on-going concern as the OIC continues its efforts to identify and communicate emerging compliance concerns to not only key stakeholders, but all UNT System Administration employees. ***For FY21, all aspects of the Compliance & Integrity Program continue to be reviewed for gaps, with action plans being drafted in those areas in need of strengthening, including efforts to refine key components of the Compliance & Integrity Program. A draft compliance assessment survey is being reviewed.***

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CRWP FY21 Overview
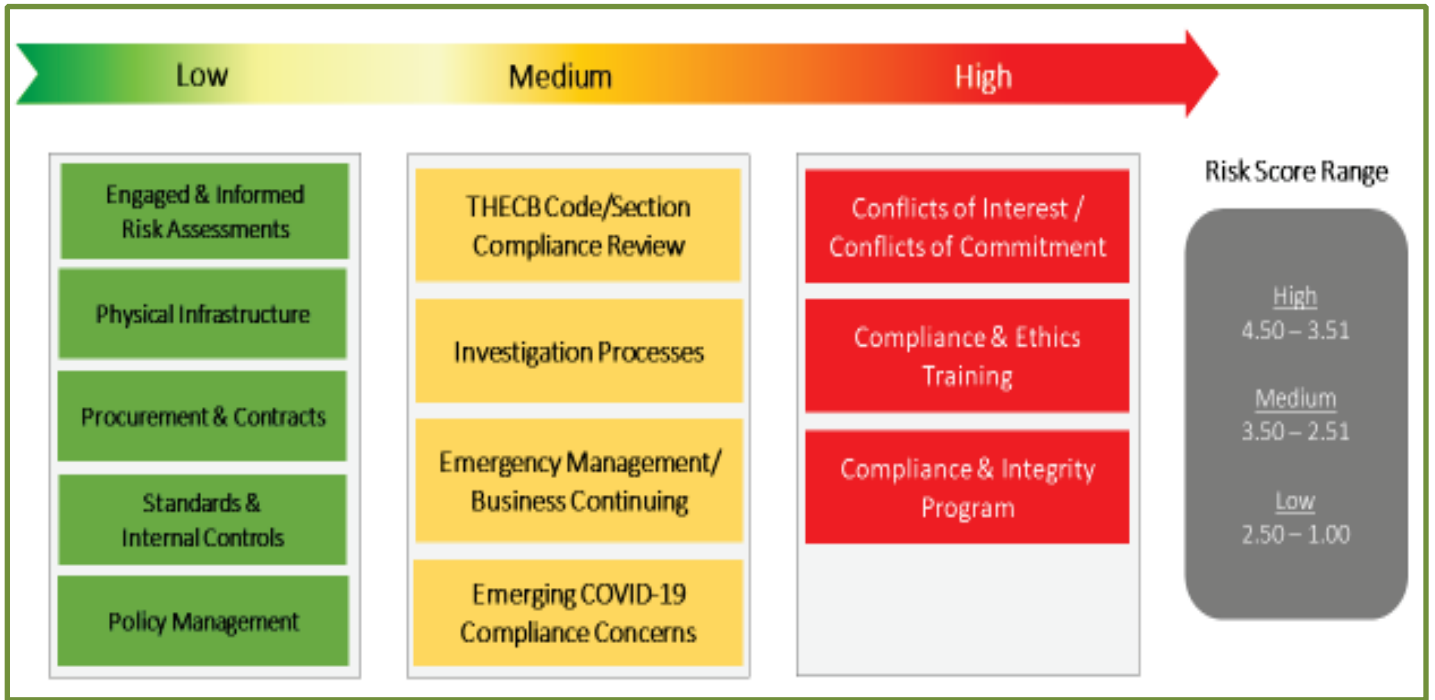
Comments:

The 12 UNT System Administration-specific compliance risks reviewed for FY21 are displayed in their respective categories. Details of each of the risks are available by contacting the OIC. An update of the efforts in addressing the three compliance risks categorized as "High" follows.

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FY21 Q2 CRWP Updates

Risk Focus Area: Compliance & Integrity Program
Key Risk Category: Compliance
Key FSGO: Active Oversight

Commitment & Focus:
The Compliance & Integrity Program is designed to:

- Ensure compliance with applicable laws, Regents rules, and System regulations and policies; and
- Encourage every System employee to conduct themselves lawfully, honestly, and with integrity.

Goal	Initiatives	Q1	Q2	Q3	Q4	Comments
Enhance Effectiveness of Compliance & Integrity Program	• Review applicable federal & state regulations, THECB sections, Regent rules, System regulations & policies • Identify gaps in System Administration regulations, policies, & processes • Implement plans to address areas of improvement & establish metrics to track progress					**Regents Rules:** 04.120; Compliance & Ethics Programs **System Regulations:** 02.100; Compliance & Integrity Program **System Policies:** 02.403; Compliance & Integrity Program 02.403.2; Mandatory Compliance & Integrity Program Policies 02.403.4; Compliance & Integrity Program Education & Training 02.403.12; Assessment of Compliance & Integrity Program
	• Assess Effectiveness of CIP					Survey of Compliance/FSGO Questions Drafted & Under Review
	• Develop, maintain, & publish annual compliance calendar					Developing List of Compliance Requirements & Due Dates
	• Update Compliance website to be more interactive with links to additional resources					Review of other IHE Compliance websites conducted Coordinate efforts with Communications & Marketing

7

Risk Focus Area: Compliance & Ethics Training
Key Risk Category: Compliance
Key FSGO: Education & Training

Commitment & Focus:

The Compliance & Integrity Program requires:

- System employees to complete compliance education and training related to policies identified in System Regulation Section 02.105, as well as emerging compliance areas.
- Education and training also shall inform employees, students, & other individuals of the ways to report suspected misconduct.

Goal	Initiatives	Progress				Comments
		Q1	Q2	Q3	Q4	
Review & Update Compliance & Ethics Training	• Assess education & training efforts & resources					**Compliance Training Guidance**
	• Tailor Compliance & Ethics Training module for UNTSA employees					**System Regulation** 02.1005.4; Mandatory Education & Training
	• Enhance quality & increase number of course offerings					All employees are required to complete ethics & compliance training, as well as training related to their positions
	• Engage Communications & Marketing in messaging training requirements					There are emerging compliance topics, as well as other compliance training related to their positions
	• Ensure mandatory training is assigned & tracked					UNTSA Compliance & Ethics Training module drafted in March & to be included in UNTW LMS in April
	• Identify resources to translate course offerings to meet the needs of our diverse staff					Procurement Task Force exploring Bridge contract to serve all institutions with each maintaining own training library
	• Coordinate development & publishing of list of Compliance training modules offered in LMS					CCOs working together to ensure compliance requirements for training are properly vetted
	• Collaborate with other institutions to share resources					UNTSA &UNTD collaborating with guidance from UNT to build training library
	• Update Compliance website to be more interactive with links to additional resources					Work with Communications to include links of training tools

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Risk Focus Area: Conflicts of Interest/Conflicts of Commitment (COI/COC) g
Key Risk Category: Compliance
Key FSGO: Active Oversight

Commitment & Focus:

Develop a Conflict of Interest Disclosure Statement form and design procedures to ensure the following:

- Form and detailed instructions are distributed to all individuals required to report financial IAW TGC Section 2261.252 (b.).
- Each Disclosure Statement is reviewed for any potential conflict of interest is identified and recorded.
- UNT System Procurement receives reports on potential conflicts of interest for reference during vendor selection procedures.
- Review applicable TEC Chapter 51. *Provisions Generally Applicable to Higher Education* sections to identify and address potential gaps in System Administration policies and departmental processes.

Implement a centralized system for the processing and maintenance of COI/COC disclosure statements. The steps above are on-going and provide an effective response to that recommendation.

Goal	Initiatives	Progress Q1	Q2	Q3	Q4	Comments
Institute COI/COC Disclosure Statement & Process	• Implement comprehensive online application to include accessible database					All four institutions are using an approved form as the standard & working together to continue standardizing processes. ITSS is working closely with all stakeholders.
	• Distribute standardized forms with detailed instructions to report financial interests					UNTSA & UNTD is collaborating with UNTHSC & UNT to parallel distribution processes, as well as review processes used to flag & report potential COI/COC concerns.
	• Review & update, as required, System regulations &/or System policies that address COI/COC Disclosures					Throughout this initiative, Regents rules, System regulations & policies are being reviewed.
	• Develop & Implement COI/COC Training Modules for inclusion into LMS					**Regents Rules:** 03.301.2; Board Ethics & Conduct/COI 03.912; DA for Contracts & Agreements 05.700; SA & Institution Ethics & Standards of Conduct
	• Update processes to review Disclosure Statements for potential COI/COC conflicts					
	• Generate reports for Procurement to identify potential COI concerns during vendor selection procedures					**System Regulations:** 08.1600; Transparency & Avoidance of COI in Fiscal Management Contracting & Procurement of Goods and Services
	• On-going collaboratation with other instititions, ITSS, & Procurement					**System Policies:** 03.701.V; Ethics and Standards of Conduct, COI/COC, & Outside Activities

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FY21 Q2 Investigation Summary Log (December 2020-February 2021)

Source					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
Anonymous	0	0	0	**0**	NA
Identified	0	0	0	**0**	NA
Intake Method					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
Trust Line Web	0	0	0	**0**	NA
Other Means	0	0	0	**0**	NA
Issue Type Summary (If Mulitple, Predominate Cited)					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
Fraud/Waste/Abuse	0	0	0	**0**	NA
Misconduct	0	0	0	**0**	NA
Discrimination	0	0	0	**0**	NA
Outcome					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
In Progress	0	0	0	**0**	NA
Closed	0	0	0	**0**	NA
Open	0	0	0	**0**	NA

10

Emerging Risks

Assessing the Impact of COVID-19 Moving Forward

In drafting the FY21 CRWP, UNT System Administration has remained vigilant in identifying and assessing emerging risks brought to bear by the COVID-19 pandemic. Below provides an overview of the process and the mapping of risks for the FY21 CRWP.
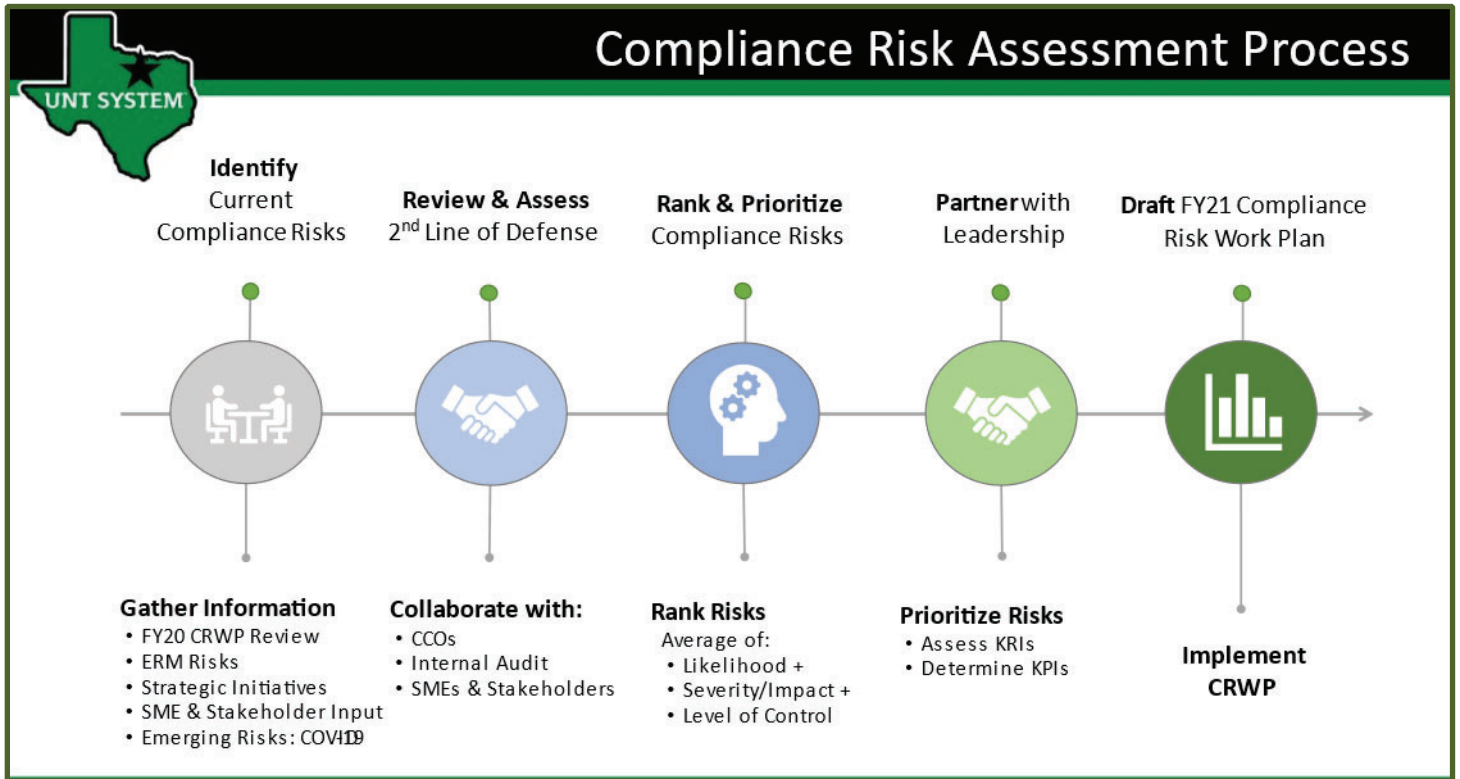
Compliance Risk Assessment for FY22

Commitment & Focus:
- Review FY21 CRWP
- Collaborate with Other CCOs/IA/Risk Services
- Review Risk Registry
- Meet with Stakeholders
- Review Strategic Plans

Appendix A:

Compliance and Integrity Program Organizational Overview

System Administraton Compliance & Integrity Program (2021)			
System Administration Oversight and Accountability			
Chancellor Lesa Roe			
System Administration Chief Compliance Officer			
Tim Willette			
Chancellor's Cabinet/Institutional Executive Compliance Committee			

Chancellor's Cabinet/Institutional Executive Compliance Committee

Rosemary Haggett, VC-Academic Affairs & Student Success		Dan Tenney, VC-Finance/Chief Financial Officer		Steve Maruszewski, VC-Strategic Infrastructure
Sheraine Gilliam-Holmes, VC-HR & Chief Human Capital Officer		Jack Morton, VC-Govt Relations & Policy Operations		Alan Stucky, VC-General Counsel
Chris McCoy, Chief Information Officer	Ninette Caruso, Chief Audit Executive	Paul Corliss, Chief Communications Officer		Tim Willette, Chief Compliance Officer

Compliance Coordinating Committee(s)

Employee Training & Development	Monitoring & Auditing	Investigations & Reporting
Principles of Community/Code of Conduct/Policies & Procedures/Standards		
Day-to-Day Operations/Preventive & Corrective Efforts/Works In Progress/Emerging Concerns		

12

UNT®

UNIVERSITY OF NORTH TEXAS®

UNIVERSITY COMPLIANCE AND ETHICS

QUARTERLY COMPLIANCE REPORT

2ND QUARTER FY21

SUBMITTED BY

CLAY SIMMONS
CHIEF COMPLIANCE OFFICER

OVERVIEW

FY2021 Compliance Program Projects and Deliverables	Target
Develop metrics for each compliance risk priority	Q4
Develop metrics that effectively measure key aspects of the compliance and ethics program	Q2
Develop tool for reporting CEP metrics to ECC and board	Q3
Complete ethics and compliance training module	Q1
Work with HR to develop training module on frequent compliance-related management issues (e.g. FMLA, ADA, etc.)	Q4
Engage UBSC in internal marketing campaign for trust line and compliance program, including revisions/additions to website	Q2
Revise all UCE policies	Q3
Conduct and complete annual risk assessment	Q4

Not started	On time	Delayed	Missed Target	Complete

EXECUTIVE SUMMARY

- UCE implemented a coordinated marketing push to advertise the Trust Line with the assistance of UBSC. As a result, reports and office contacts are up.

- The new Ethics and Standards of Conduct training module was assigned to all employees.

- A HIPAA compliance review of UNT covered components is in progress, but will not be completed in the second quarter of FY21.

- UCE continues to monitor the implementation of a resolution agreement with OCR on accessibility, and assisting with improvements to accessibility problem response processes.

- COVID-19 response activities are still ongoing as we plan for full reopening in the fall.

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INTRODUCTION

COVID-19 pandemic response and associated planning work continued to impact UCE operations during the first quarter. Our main efforts during the quarter included participating in teams that addressed OCR investigations on campus, finalizing the new Ethics and Standards of Conduct training module, and participating in various groups around safety, research, leadership, and communications.

COMPLIANCE PROGRAM

Policies and Procedures

University Compliance and Ethics (UCE) continued to maintain and track policy exceptions necessitated by the university's response to COVID-19.

UCE will be revising all UCE-owned policies this year in support of a general review of all UNT policies. To enable UNT policy revisions, UCE is working with the two other UNT World CCOs to revise System Regulation 02.1000 Compliance and Integrity Program. Revisions to UNT policy may be delayed as we wait for System Office of General Counsel to complete its review of proposed amendments to that regulation. UCE recently completed the revision of UNT Policy 04.010 Reporting Suspected Abuse and Neglect of Children and Elderly or Disabled Individuals.

UCE has also provided support in coordinating the development and review of a combined sexual misconduct policy across all UNT System institutions.

Compliance Officer and Compliance Committee

COVID-19 related tasks continued to be a major effort for UCE in the 2nd Quarter. In addition to tracking and advising on policy exceptions as mentioned above, the CCO participates in two major advisory groups dedicated to COVID response.

Education and Training

UCE assigned a new Ethics and Standards of Conduct module to all UNT employees in the 2nd Quarter. The module provides information to employees on general ethical behavior as well as university policy and state laws relating to ethics and standards of conduct. Employees will revisit this training every other year. UCE is currently assisting the Dean of Students Office and Registrar's

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Office in developing a new FERPA training module which will address common FERPA issues. This module is anticipated to be finished sometime during the summer.

Effective Communication/Trust Line

UCE worked with University Brand Strategy and Communications to improve our marketing of the trust line through notifications and awareness activities. These efforts to improve awareness of the UNT Trust Line have resulted in an increased number of reports coming through that channel.

Auditing and Monitoring

UCE's review of HIPAA covered components at UNT for compliance with UNT's Protected Health Information Privacy policy was placed on hold during the quarter. The UCE compliance manager in charge of the project left the university due to a reduction in force and necessitated the pause. Initial review indicates that UNT covered components are compliant with the policy at this time, and OGC has been informed of our findings of new covered components. We will complete this project as time is available, but before the 4th Quarter.

UCE continues to work closely with UNT Asset Protection on an Asset Protection review of inventory and P-card purchases.

Disciplinary Guidelines

No new information to report this quarter

Response and Corrective Action

UCE is participating in an effort to improve FERPA protections in relation to a Department of Education review of FERPA complaints, mostly involving disclosure of private information during online classes. Most of the disclosures appear to be related to technical problems with online software use and some uncertainty as to what information may be shared. UCE is working with campus partners to develop training intended to improve compliance in this area and to meet DOE standards.

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FY20 RISK ASSESSMENT- Q2 PROGRESS

UCE has modified its work plan for the additional burden involved with the COVID-19 pandemic response. However, The University's response to the COVID-19 pandemic may require changes in risk priorities. The office will continue to prioritize significant compliance issues. Currently, all activities are on target.

FY2021 Risk Priorities	Q1	Q2	Q3	Q4
1. Employee training				
2. University policies				
3. International regulatory compliance				
4. Accessibility of online programs				
5. Conflicts of interest and commitment				
6. Prevention of sexual discrimination and violence & Title IX compliance				
7. COVID-19 related compliance				

ADDITIONAL CAMPUS INFORMATION

A. COVID-19 Response

UCE has been heavily involved in the university's COVID-19 response, working with policy, safety, research, and athletics groups to modify work and learning environments on campus. This heavy volume of work may result in delays to planned program improvements.

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ASSOCIATED CHARTS/APPENDIX

6

UNT Compliance and Ethics Program Maturity Continuum

2022-2023

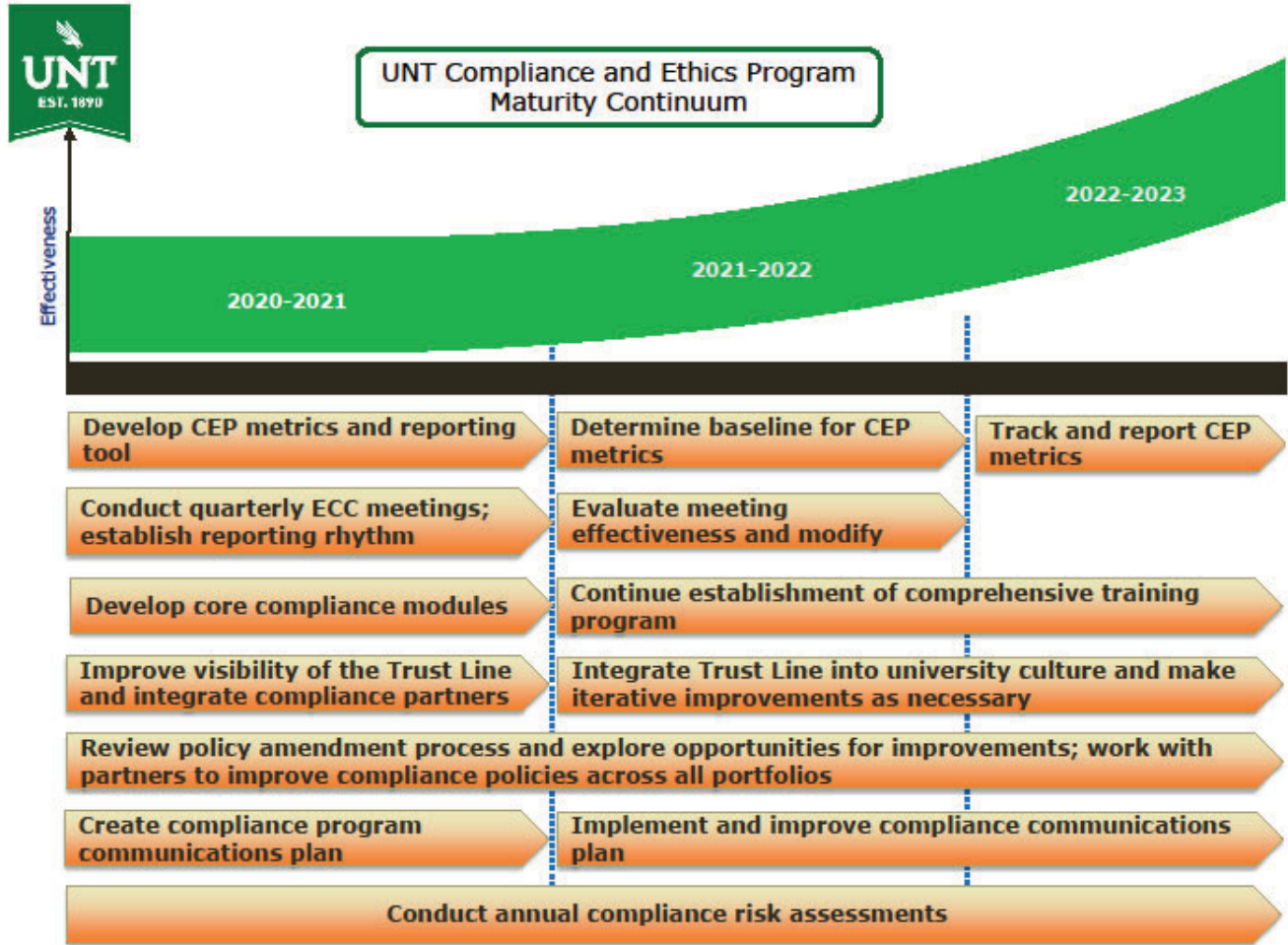2021-2022

2020-2021

Effectiveness

Develop CEP metrics and reporting tool

Determine baseline for CEP metrics

Track and report CEP metrics

Conduct quarterly ECC meetings; establish reporting rhythm

Evaluate meeting effectiveness and modify

Develop core compliance modules

Continue establishment of comprehensive training program

Improve visibility of the Trust Line and integrate compliance partners

Integrate Trust Line into university culture and make iterative improvements as necessary

Review policy amendment process and explore opportunities for improvements; work with partners to improve compliance policies across all portfolios

Create compliance program communications plan

Implement and improve compliance communications plan

Conduct annual compliance risk assessments

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QUARTERLY COMPLIANCE REPORT

SECOND QUARTER FY2021

SUBMITTED BY

DESIREE RAMIREZ, CCEP, CHC
CHIEF COMPLIANCE AND INTEGRITY OFFICER

THE COMPLIANCE ROLE DURING COVID-19

The Office of Institutional Compliance and Integrity (OCCI) continues to focus efforts on building an effective compliance and ethics program but there are still many risks to address in the upcoming post pandemic world.

When asked, many chief compliance officers stated that one of the biggest unanticipated risk identified during the pandemic has been lack of communication. While there has been increased connection in many organizations with the use of Teams and Zoom it does not replace the value of more informal interactions. The absence of these opportunities can increase the feeling of being 'disconnected' from the 'culture' of the organization. Organizations with strong values engage and motivate their employees through these tough times especially when working remotely It is important that compliance and ethics officers continue to promote the importance of expected behaviors of integrity and respect and reinforce the importance of having open communication channels to raise concerns, even in a virtual environment

Even in the midst of the pandemic, compliance officers continued to play a role in maintaining the organizational culture. Although compliance is everyone's responsibility, the strength of any compliance program is proven in its the ability to adapt to the changing environment by ensuring that t risk plans, training, communication, and policies keep pace, especially in stressful situations like a pandemic.

COMPLIANCE PROGRAM

Policies and Procedures
Approximately 76 of the 85 updated policies were approved and uploaded into the policy repository, PolicyTech. The campus was provided a cross walk of the previous 415 policies with 30 days to review. Once all policies have been reviewed for legal sufficiency, old policies will be archived in the system. Departments are currently, schools and departments are working on procedures that will create better operational efficiency. Policies will be reviewed on a one or two year cycle in addition to immediate updates for state or federal guidelines.

Compliance Officer and Compliance Committee
No new information to report this quarter.

Education and Training
The FY21 Integrity Suite Education for employees was launched from October 2020- January 2021 with an 87% on- time completion rate. We continued to assign training to new employees during the second quarter with a 100% completion rate including the Code of Culture. New employees who completed training in FY20 were exempt from the FY21 training.

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An after action review of the training was conducted with plans for changes in delivery and monitoring planned.

Effective Communication/Trust Line
HSC received five **Trust Line calls/inquiries** during the 2nd quarter. The areas of concern were various. 100% of the cases were reviewed/investigated and closed during the 2nd quarter. However, this is 72% decrease from this same time last year. We contribute some of this concerns at the early stages of the pandemic in 2020, but also increased engagement and holiday leave in late 2020- early 2021 caused the decrease in the 2nd quarter; issue types were similar at both intervals of time. We will continue to monitor trends and changes for proactive intervention. *(See Associated Charts for additional details)*

Auditing and Monitoring
The Center for Medicare and Medicaid Services (CMS) expanded payment for telemedicine during the pandemic and according to Center for Disease Control and Prevention, telehealth visits increased 154% in March 2020 compared to a year earlier and will continue to grow in the years to come

HSC Health, our clinical practice group, utilized telemedicine services to provide care to many of our patients that included the supervision of residents in medical care. As telemedicine has been a part of HSCs future endeavors for our clinical practice and to ensure that billing is done correctly, a clinical documentation audit was conducted by the Office of Institutional Compliance and Integrity.

There were common findings of undercoding, overcoding and bundling with an aggregate 6% error rate. Specific concerns for education included:
- Telemedicine visit vs. an Office Visit- this will ensure correct payment
- Documenting the correct time spent on the service for time based billing
- Components of telehealth service (consent, time and method of delivery) are in the documentation
- Location of all parties when utilizing resident in the service and attestation (Teaching Physician Rule)

   Telehealth services will continue to be reviewed as part of routine audits.

Disciplinary Guidelines
No new information to report this quarter. Disciplinary guidelines are adhered according to policy.

Response and Corrective Action

No new information to report this quarter. Response and corrective action are adhered according to policy.

COMPLIANCE PROJECTS AND DELIVERABLES

FY2021 Compliance Projects and Deliverables	
Benchmark Compliance Program with external corporations/institutions	Q3
Create and implement integrity based framework to compliance program	Q3
Implement data analytics tool to review trends within Code of Culture and Policy	Q4
Measure effectiveness of compliance resources and tools	Q4
Create prompts and tools for "Integrity Moment" conversations	Q2

Not started	On time	Delayed	Will Miss Target	Complete

HIPAA AND COVID VACCINATIONS

The Equal Employment Opportunity Commission (EEOC) weighed in Dec. 16 with new guidance that answers some workplace vaccination questions. The guidance stated that employers may encourage or possibly require COVID-19 vaccinations, but policies must comply with the Americans with Disabilities Act (ADA), Title VII of the Civil Rights Act of 1964 (Title VII) and other workplace laws, according to the EEOC

Under HIPAA, immunization records are protected health information, therefore, whether an employee has received a COVID-19 only a healthcare provider may disclose vaccine if the employee has furnished the provider with their written authorization. Employers may ask their employees whether they have received the vaccine, but they may only seek information from the employee's medical provider with written authorization from the employee; employers cannot disclose the information without the employees consent once it is obtained. Employers may require employees to provide proof that they received a COVID-19 vaccine; however, disclosure of information reflecting a disability could implicate the Americans with Disabilities Act. The EEOC is recommending that if employers' requests for proof of a COVID-19 vaccine they also include a request that no medical information is disclosed along with proof of the vaccination.

In response to the this concern, HSC via our Campus Human Resources sent a notice to supervisors reminding them that HSC is committed to the well-being and safety of our students, faculty and staff, as well as to the protection and confidentiality of our employees'

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and students' personal health information. Guidance was provided for acceptable and unacceptable communication with employees regarding personal health information and vaccines. The guidance stated that Supervisors should **NOT** ask questions intended to:

- Identify underlying health condition(s) of an employee (such as those listed under vaccination Phase 1B or other phases)
- Identify how an employee was eligible to receive a vaccine (age, health condition, etc.)
- Identify which type of vaccine an employee receives
- Solicit which employees plan to receive the vaccine
- Solicit which employees have or have not received the vaccine

 The Office of Civil Rights (OCR) continues to encourage the use of reasonable safeguards to protect the privacy and security of individuals' protected health information

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COMPLIANCE TRENDS FOR 2021

A recent Harvard Business Review article identified some trends that will shape organizational culture in the upcoming year such as managing life experience of employees; active involvement in societal issues and tackling the gender wage gap; flex time vs remote work; and COVID vaccine requirements and mental health support.

Ironically, compliance and ethics trends mirror the changes seen in within organizational culture shifts. According to various compliance reports and white papers, compliance officers will be looking at not only organizational and operational risk, but behavior and people risk.

- **Risk Management in Remote Work**- Information Technology (IT) related risk in cybersecurity; data protection.

- **Environmental and Social Responsibilit**y- awareness and metrics on diversity and inclusion, gender pay structure and cultural climate, increased transparency, accountability and enforcement.

- **Personal Accountabilit**y- ensure employees are fully aware of the responsibilities and individual accountability; focus on culture and conduct risk

- **Post COVID workplac**e- employee vaccine requirements and new mental health issues; employees leaving the workforce; policy issues that accompany these changes
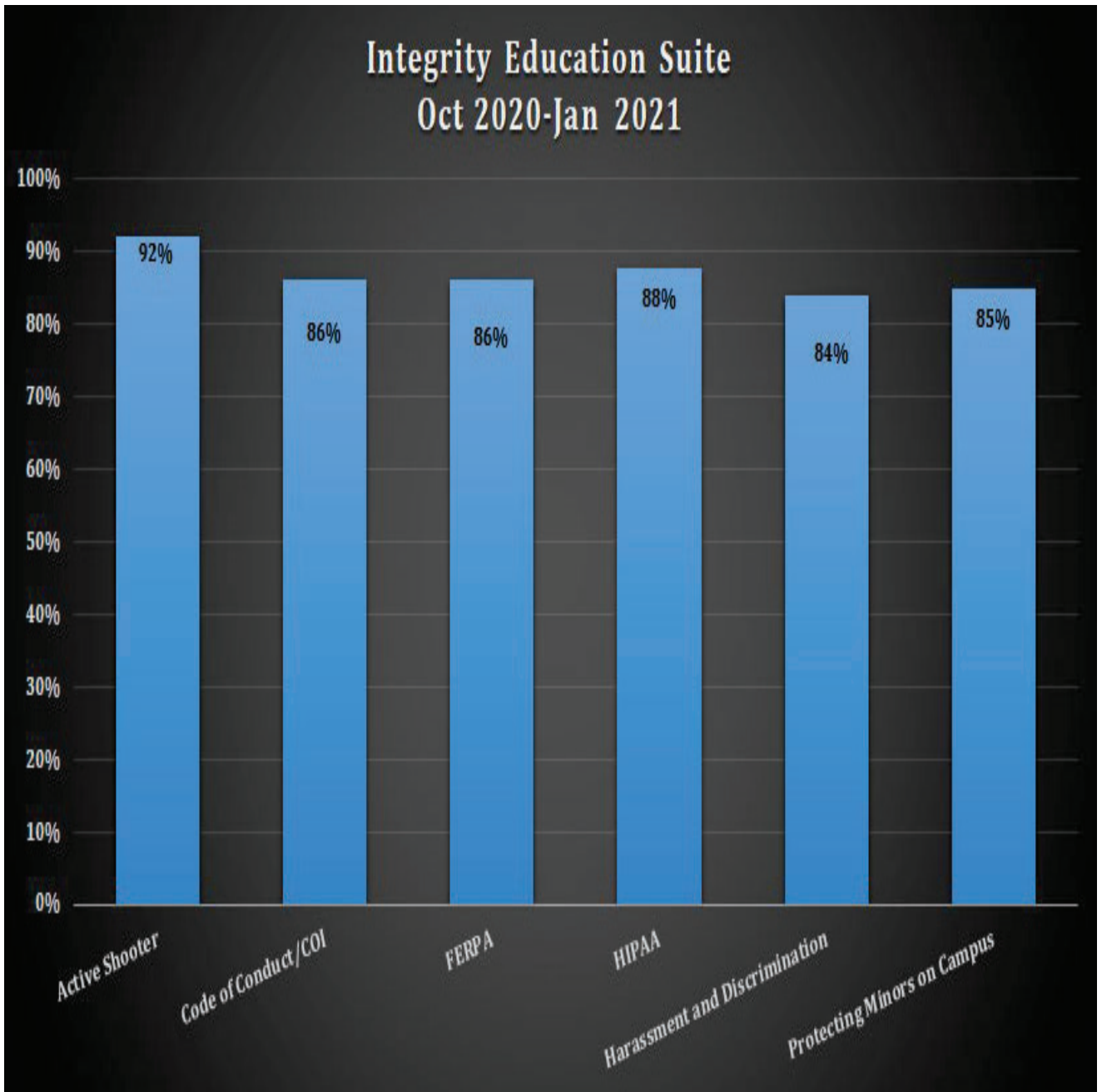
- **Compliance training**- employees will want less compliance training and more awareness training

- **Investment in compliance**- Processes and sufficient resources in place for effective oversight and monitoring; this will help to ensure continued compliance

Using the lens of Our Value and Code of Culture, the Office of Institutional Compliance and Integrity will work with other institutional departments- Human Resources, Student Affairs, Culture and Experience and Information Technology to:

- Assess behavioral risk and the organizational culture landscape

- Communicate clearly, frequently, and consistently with students and employees

- Reassess and reevaluate priorities and policies post-pandemic

- Support HSC in its ongoing pursuit of resilience and transformation

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ASSOCIATED CHARTS

Integrity Education Completion

Integrity Education Suite
Oct 2020-Jan 2021

- Active Shooter: 92%
- Code of Conduct/COI: 86%
- FERPA: 86%
- HIPAA: 88%
- Harassment and Discrimination: 84%
- Protecting Minors on Campus: 85%

TrustLine Dashboard- FY21 Second Quarter

Total Cases	Open Cases	Closed Cases	Substantiated Cases	Anonymous Cases
5	0	5	0.0%	40.0%

Reporting Method

Hotline
40.0%

Web Submission
40.0%

Mobile Intake
0.0%

Other Intake Method
20.0%

Cases by Benchmark Issue Category

- HR, Diversity and Workplace Respect: 3
- Business Integrity: 2

Case Volume by Tier

- University of North Texas Health Science ...: 4
- Compliance Report and Management Fo...: 1

8
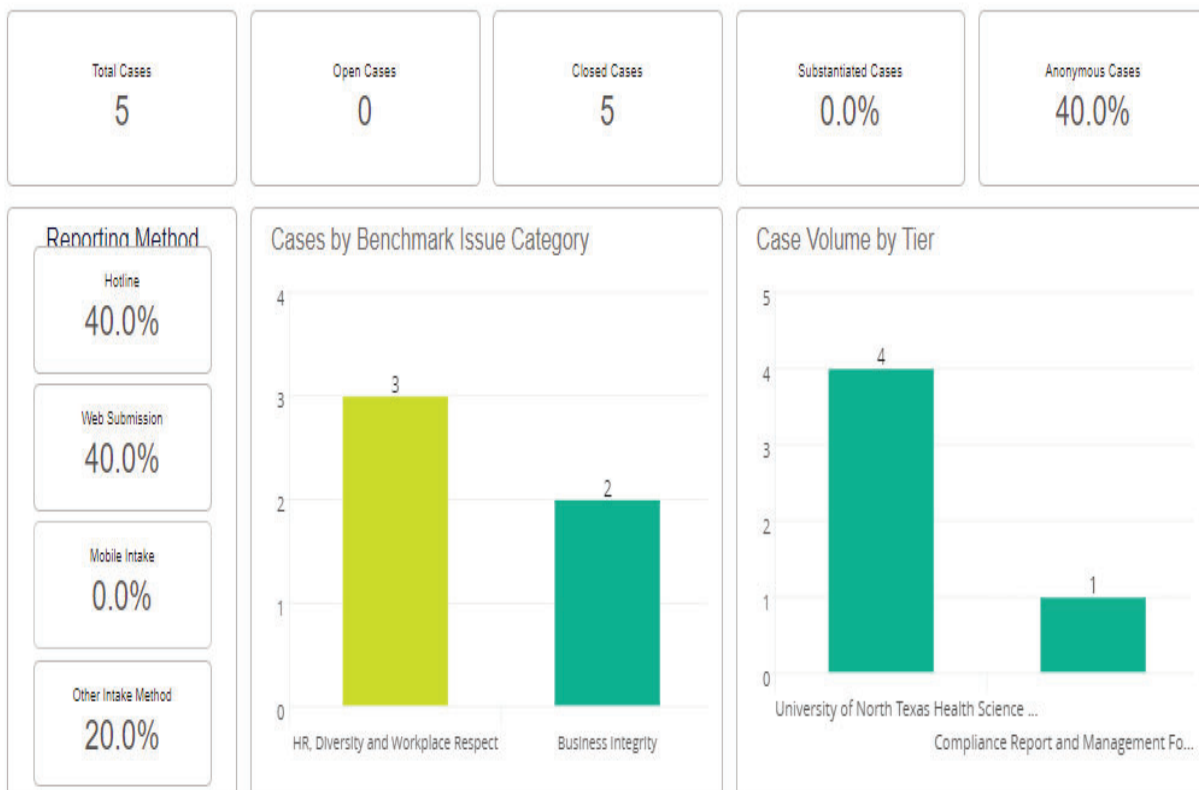
TrustLine Dashboard- FY20 Second Quarter

Total Cases	Open Cases	Closed Cases	Substantiated Cases	Anonymous Cases
18	0	18	38.9%	22.2%

Reporting Method

Hotline	16.7%
Web Submission	11.1%
Mobile Intake	0.0%
Other Intake Method	72.2%

Cases by Benchmark Issue Category

Bar chart (Business Integrity):
- HR, Diversity and Workplace ...: 9
- (category): 6
- Misuse Misappropriation of ...: 3

Case Volume by Tier

Bar chart (University of North Texas Health Science...):
- Compliance Report and Management Fo...: 13
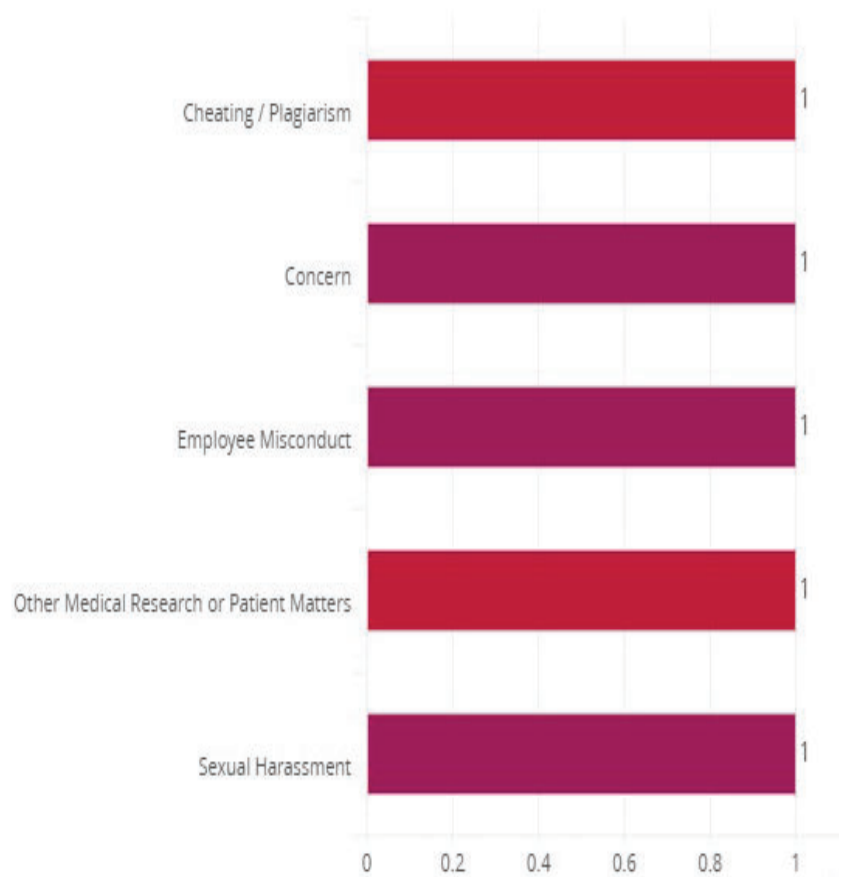- (second tier): 5

Issue Type- FY 21 Second Quarter

Cases per Issue Type

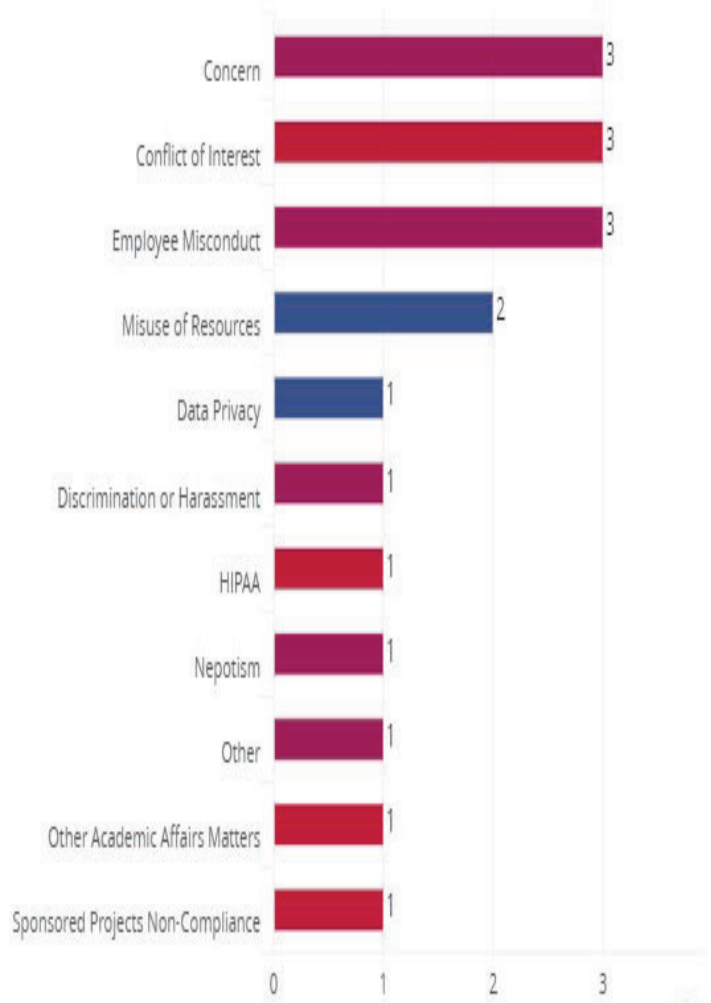| Issue Type ▲	Cases
Cheating / Plagiarism	1
Concern	1
Employee Misconduct	1
Other Medical Research or Patient Matters	1
Sexual Harassment	1
	5

Issue Type Usage

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Issue Type FY20- Second Quarter

Cases per Issue Type

Issue Type ▲	Cases ▲▼
Concern	3
Conflict of Interest	3
Employee Misconduct	3
Misuse of Resources	2
Data Privacy	1
Discrimination or Harassment	1
HIPAA	1
Nepotism	1
Other	1
Other Academic Affairs Matters	1
Sponsored Projects Non-Compliance	1
▦	18

Issue Type Usage

Issue Type	Value
Concern	3
Conflict of Interest	3
Employee Misconduct	3
Misuse of Resources	2
Data Privacy	1
Discrimination or Harassment	1
HIPAA	1
Nepotism	1
Other	1
Other Academic Affairs Matters	1
Sponsored Projects Non-Compliance	1

OFFICE OF INSTITUTIONAL COMPLIANCE

QUARTERLY COMPLIANCE REPORT
FY21 Q2

SUBMITTED BY

TIM WILLETTE

CHIEF COMPLIANCE OFFICER

BOARD OF REGENTS MEETING

MAY 13TH & 14TH, 2021

Unless Otherwise Noted: Activities reflected are as of February 28th, 2021

Introduction

Reporting directly to the University of North Texas at Dallas (UNT Dallas) Office of the President, the Office of Institutional Compliance (OIC) is charged with the implementation of a compliance program that fosters a culture of ethical and responsible conduct by all individuals serving the mission of the University. The OIC, in collaboration with the Office of General Counsel (OGC), also provides regulatory oversight. To that end; the OIC identifies and analyzes a wide range of existing and emerging compliance risks.

As 2021 begins, UNT Dallas continues to blaze new trails in its commitment to our students, faculty, staff, and members of a community that has been particularly hard hit by the COVID-19 pandemic. The OIC is a vested partner and, as we all adjust to an evolving and expanding landscape, this collaboration grows stronger.

In this overview of the efforts undertaken by the OIC during the second quarter (Q2) of Fiscal Year 2021 (FY21), updates of the top four compliance risk focus areas will be highlighted. Working closely with key campus stakeholders, the Chief Compliance Officer (CCO) continues to partner with each of the organizational leaders serving on the President's Cabinet, as well as key stakeholders. The organizational structure of the UNT Dallas Compliance and Integrity Program is provided in Appendix A.

Executive Summary

This quarterly report is a summary of compliance activities that have taken place during FY21 Q2 at UNT Dallas. It is divided into seven sections.

- Introduction
- Executive Summary
- Compliance and Integrity Program
- FY21 Compliance Risk Work Plan (CRWP) Overview
- FY21 Q2 CRWP Updates
- FY21 Q2 Investigative Activities
- Emerging Risks for FY21 & Beyond

Compliance & Integrity Program

The OIC at UNT Dallas is responsible for the implementing and maintaining of an effective Compliance & Integrity Program that includes, but is not limited to:

1. serving as a resource to address compliance concerns and communicate emerging risks;
2. facilitating the identification, prioritization, and mitigation of compliance risk focus areas;
3. assisting in determining risk mitigation strategies and how to assess their effectiveness;

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4. reviewing and-as needed-updating campus policies;

5. assisting in identifying and monitoring training requirements; and

6. helping with corrective actions, as appropriate.

The Compliance & Integrity Program identifies, assesses, monitors, oversees, and helps ensure UNT Dallas complies with applicable laws and regulations, Regents rules, System regulations, and campus policies. The CCO is responsible for implementing a robust and engaging Compliance and Integrity Program at UNT Dallas.

Since mid-March of 2020, the OIC has focused primarily on those compliance risks associated with the impact of the COVID-19 pandemic at UNT Dallas. During this most recent quarter, operations continue to be conducted remotely. UNT Dallas President Mong leads daily briefings with key stakeholders, keeping all members of the University community informed of federal, state, and local requirements. Emerging requirements serve to ensure campus operations are closely monitored. Having an informed and engaged organization has been key in continuing to effectively serve the mission of UNT Dallas. This includes communicating an on-going awareness of and adherence to UNT System Regulation 02.1000; Compliance & Integrity Program, as well as the seven Federal Sentencing Guideline Objectives (FSGOs) listed below.

- **Active Oversight**

  All members of the President's Cabinet and key stakeholders are advised of the overall effectiveness of the Compliance & Integrity Program with the OIC providing quarterly updates of the annual CRWP. *During this reporting period, the members of the President's Cabinet, along with other stakeholders, are actively engaged in identifying, communicating, and assessing emerging risks—especially those brought on by the COVID-19 pandemic.* The commitment to fostering a culture of ethical behavior is pervasive throughout all operations at UNT Dallas. In their roles as a leader, each member of the President's Cabinet is committed to championing an environment of personal integrity. This has never been more apparent than during these first two quarters of FY21 when the majority of staff and faculty members have been working remotely. *Leadership continues to be actively engaged in supporting a remote work environment that is focused on the well-being of all Trailblazers. Additionally, members of the President's Cabinet are actively engaged in the identification, prioritization, and tracking of the four risk focus areas identified in the campus FY21 CRWP. This has included an effort to match the CRWP to elements of the UNT Dallas Strategic Plan for FY21.*

- **Policies, Standards, and Code of Conduct**

  UNT Dallas is committed to the implementation and maintenance of policies that facilitate the detection and prevention of unethical and illegal conduct at the University. These policies promote

integrity, principled behavior, and compliance with federal and state laws, Regents Rules, System Regulations, and the standards of all applicable accrediting bodies.

During FY21 Q2, the CCO has worked closely with the campus Policy Director to identify and implement a revised and updated policy review process, driven by an initiative to migrate all campus from the existing database to the Policy Tech application. This application will be used by all four institutions. The campus Policy Director and the CCO are closely collaborating in establishing a policy review process that will be more expeditious and timelier. The migration of the campus policies is on-going and the support from UNT System Administration has helped. Policy management is a risk focus area with a great deal of upside to all campus operations.

- **Education and Training**
  All UNT Dallas employees must successfully complete training identified in the Compliance & Integrity Program, as well as compliance elements that are key in the conduct of their position. Additionally, employees must be trained and periodically reminded of the ways to report suspected misconduct. *From the Internal Audit Review of Senate Bill 20, UNT Dallas is taking a closer look at its compliance and ethics training. The report recommended that the OIC do the following:*

  - *Coordinate development of an annual compliance and ethics training curriculum; and*
  - *Establish a process to assign certain compliance and ethics training modules to designated employees, with tools in place to monitor and record compliance.*

  The arrival of a new Vice Chancellor of Human Resources has served to continue the mitigation efforts in this risk. A review of the campus compliance and ethics training curricula is a risk focus area in the campus FY21 CRWP.

- **Open Communications**
  All UNT Dallas employees must not only be aware of, but also understand the rules that govern, their respective roles and the values underpinning UNT World. Stakeholders, both, internal and external, need assurances that UNT Dallas is committed to ethical and responsible behavior. Communication is key to a culture of compliance. *Throughout FY20 and into FY 21 Q2, the OIC is working closely with Marketing & Communications in providing timely compliance information, including announcements regarding upcoming mandated training.*

- **Monitoring and Auditing**
  UNT Dallas is committed to continuous monitoring by implementing internal controls that allow for early detection and remediation of non-compliance within an organization. Audit activities serve to help ensure that operational management has in place internal controls that do not

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improperly bias the assessment of business processes.

During FY21 Q2, UNT Dallas has made a strong effort to respond to all outstanding recommendations documented in all Internal Audit reports. To that end; UNT Dallas has not had to ask for extensions in the implementation of any recommendations. The OIC continues to work closely with key stakeholders on campus to ensure recommendations by Internal Audit are addressed in a timely and thorough manner.

- **Enforcement Tools**

  UNT Dallas, through the Compliance & Integrity Program, incorporates measures that help ensure employees understand the consequences of engaging in unethical behavior or participating in non-compliant activities. This includes procedures for enforcing and disciplining employees who violate compliance standards or fail to report non-compliant activities. Disciplinary provisions equitably enforced are critical to the credibility and integrity of the Compliance & Integrity Program. *A review of the investigation process is an initiative that has included many campus stakeholders during FY21 Q2.*

- **Responsive Initiatives**

  Keeping in mind that an effective Compliance & Integrity Program is scalable, affordable, feasible, and enforceable, the OIC is engaged in an effort to draft a variety of surveys to evaluate the effectiveness of the program and the seven FSGOs. This effort is also taking note of emerging compliance challenges. *During FY21 Q2, the Compliance & Integrity Program is being reviewed for gaps. Action plans will be devised in those areas in need of strengthening.*

CRWP FY21 Overview

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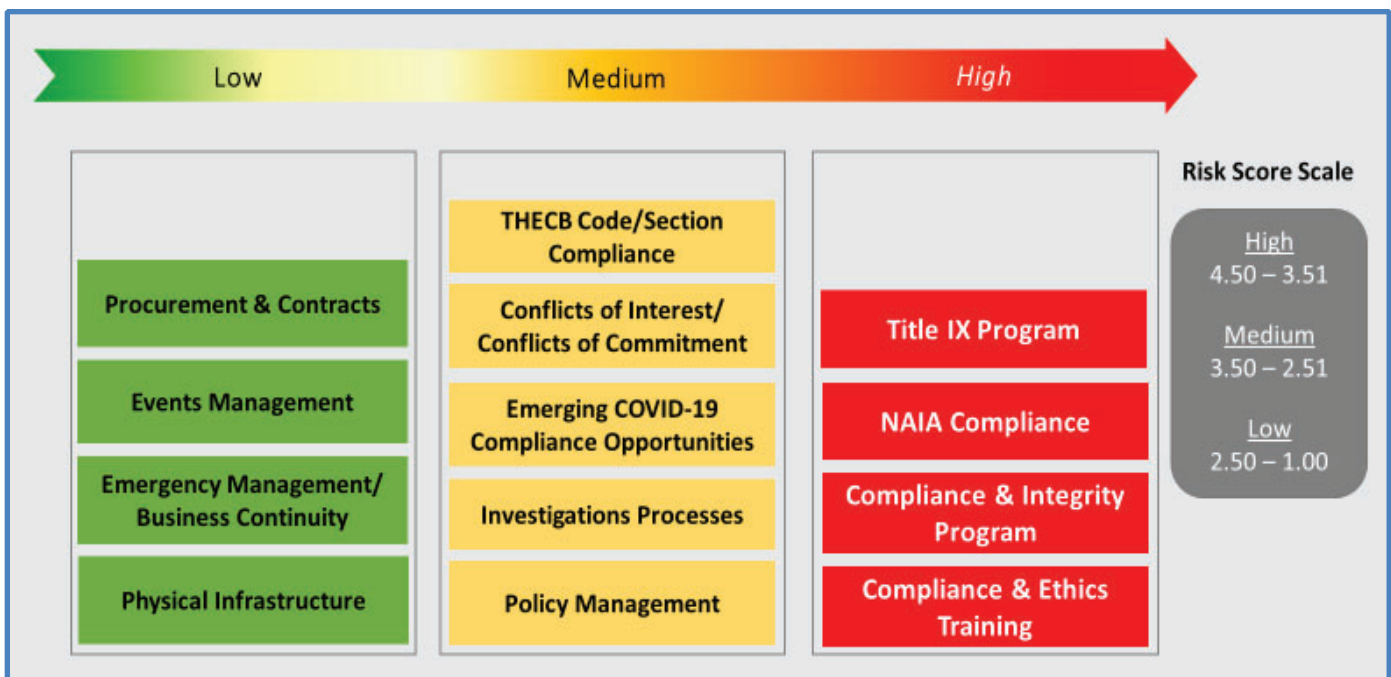
Comments:

The 13 UNTD-specific compliance risks reviewed for FY21 are displayed in their respective categories. Details of each of the risks are available through the UNT Dallas CCO. An update of the efforts in addressing the four compliance risks categorized as "High" follows.

FY21 Q1 CRWP Updates

- **Title IX Program**

  To ensure compliance with Title IX and other federal and state civil rights laws, designate a Title IX Coordinator to monitor compliance with Title IX and ensure reports of sexual or gender-based harassment or misconduct are appropriately investigated and addressed.

  The Title IX Coordinator is charged with overseeing University compliance with Title IX and Senate Bill 212 requirements; ensuring appropriate education and training for students and employees; coordinating investigations, responses, and resolutions of all reports, and ensuring appropriate actions to eliminate conduct that violates Title IX, prevent its recurrence, and remedy its effects, and keeping the UNT Dallas President informed.

  Key Risk Category: Compliance
  Key FSGO: Active Oversight

Goal	Initiatives	Q1	Q2	Q3	Q4	Comments
		Progress				
Enhance Title IX Program Oversight	• Designate Title IX Coordinator to establish & oversee University Title IX Program					UNTD President introduced announced Zeva Edmondson to serve as Title IX Program Coordinator
	• Maintain up-to-date education & training resources					Training modules are in place & will be closely reviewed & updated as needed
	• Coordinate investigations, responses, & resolutions of reported incidents alleging sexual harassment or other sexual misconduct					
	• Ensure appropriate actions are taken to eliminate sexual harassment & other sexual misconduct, prevent recurrence, remedy effects, & updates UNTD President					
	• Ensure mandatory training is assigned & tracked					
	• Identify resources to translate course offerings to meet the needs of our diverse staff					
	• Coordinate development & publishing of list of TIX training modules					This is on-going evolution with all UNT System institutions involved
	• Collaborate with other instititions to share resources					All UNT System institutions committed to sharing best practices & limited resources as required
	• Update TIX website to be more interactive with links to additional resources					Work with Communications as progress is made with the TIX website to include links to training tools

- **NAIA Compliance**

  With UNT Dallas gaining admission to the National Association of Intercollegiate Athletics (NAIA), President Mong recognized the need to establish an Intercollegiate Athletics Compliance Program and identifying an individual to serve as the Compliance Director. This individual would be charged with establishing an environment of education and adherence to institution, conference, and NAIA regulations, working collaboratively with key campus stakeholders. The position would also serve as the compliance liaison for the campus in working with the NAIA to help ensure all areas of intercollegiate athletics compliance are satisfactorily addressed.

Key Risk Category: Compliance

Key FSGO: Education and Training

Goal	Initiatives	Progress				Comments
		Q1	Q2	Q3	Q4	
Implement Intercollegiate Athletics Compliance Program National Association of Intercollegiate Athletics (NAIA)	• UNTD President appoint Intercollegiate Athletics (IA) Compliance Director to work with Athletics Director (AD)					**Completed**
	• UNTD President establish Athletics Oversight Committee					**Completed**
	• IA Compliance Director identify & understand NAIA Compliance requirements & protocols					IA Compliance Director works closely with NAIA Compliance & other IHEs with NAIA programs
	• IA Compliance Director work with faculty athletics representative & Athletics Director to establish environment of education & adherence to institutional policies, conference guidelines, & NAIA regulations					On-going Process
	• Athletics Oversight Committee draft Student-Athlete handbook					Draft document to be provided to UNTD President in early April 2021
	• Develop portfoilo of NAIA compliance requirements					IA Compliance Director has created & is building a portfolio of activities with compliance implications
	• IA Compliance Director meet with key stakeholders to identify resources to assist student-athletes					IA Compliance Director meets with student services that provide a host of resources for students
	• IA Compliance Director meet with key stakeholders to identify education & training resources					IA Director meets with CCO, Risk Manager, & other key stakeholders

- **Compliance and Integrity Program**

  The OIC will conduct a comprehensive review of applicable federal and state regulations, particularly THECB guidance, Regent Rules, System Regulations, and campus policies to identify gaps and take steps to strengthen the campus Compliance & Integrity Program:

  - implementing plans to address areas of improvement and establish metrics to track progress;
  - developing and publishing compliance calendar; and
  - reviewing and updating the Compliance & Integrity Program website with links to additional resources.

  Key Risk Category: Compliance
  Key FSGO: Policies and Standards

Goal	Initiatives	Progress				Comments
		Q1	Q2	Q3	Q4	
Enhance Effectiveness of Compliance & Integrity Program	• Review federal & state regulations, THECB sections, Regent rules, System regulations, & University policies • Identify gaps in System Administration regulations, University policies, & associated processes • Implement plans to address areas of improvement & establish metrics to track progress					**Regents Rules:** 04.120; Compliance & Ethics Programs **System Regulations:** 02.100; Compliance & Integrity Program **Campus Policies:** 04.013; Employee Rights & Responsibilities Under Institutional Compliance & Ethics Program 05.007; Employee Ethics & Standards of Employee Conduct 05.041; Compliance & Integrity Program
	• Assess Effectiveness of CIP					Survey of Compliance/FSGO Questions Drafted & Under Review
	• Develop, maintain, & publish annual compliance calendar					Developing List of Compliance Requirements & Due Dates
	• Update Compliance website to be more interactive with links to additional resources					Review of other IHE Compliance websites conducted Coordinate efforts with Communications & Marketing

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- **Compliance and Ethics Training**

  From the Internal Audit Review of Senate Bill 20, UNT Dallas is taking a closer look at its compliance and ethics training. The report recommended that the campus OIC do the following:

  o Coordinate development of an annual compliance and ethics training curriculum; and
  o Ensure certain compliance and ethics training modules are assigned as mandatory for designated employees, with tools in place to monitor and record compliance.

Key Risk Category: Compliance
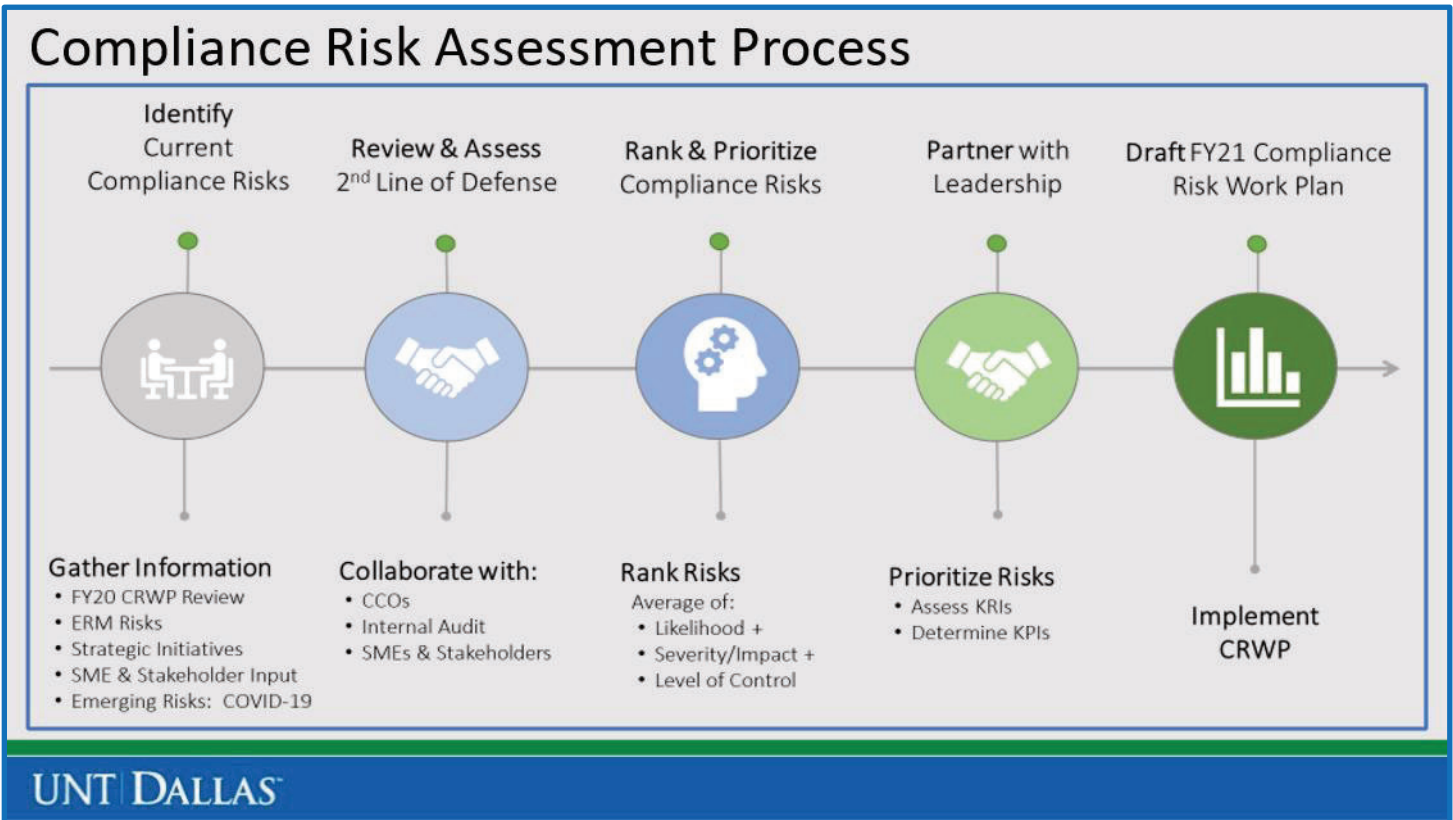
Key FSGO: Education and Training

Goal	Initiatives	Progress				Comments
		Q1	Q2	Q3	Q4	
Review & Update Compliance & Ethics Training	• Assess education & training efforts & resources • Tailor Compliance & Ethics Training module for UNTD employees • Enhance quality & increase number of course offerings • Communication & Marketing actively engaged in messaging training requirements • Ensure mandatory training is assigned & tracked • Identify resources to translate course offerings to meet the needs of our diverse staff • Coordinate development & publishing of list of Compliance training modules offered in LMS • Collaborate with other instititions to share resources • Update Compliance website to be more interactive with links to additional resources					**Mandatory Compliance Training** All employees are required to complete ethics & compliance training, as well as training related to their positions There are emerging compliance topics, as well as other compliance training related to their positions UNTD C&E Training Module created & included in LMS in March Procurement Task Force exploring Bridge contract to serve all Institutions with each maintaining their own training library CCOs working together to help ensure compliance requirements for training are properly vetted UNTSA &UNTD working together & UNT is providing helpful guidance in moving forward Work with Communications as progress is made with the Compliance website to include links to training tools

FY21 Q2 Investigation Summary Log (December 2020-February 2021)

Source					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
Anonymous	0	0	0	**0**	NA
Identified	0	0	0	**0**	NA
Intake Method					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
Trust Line Web	0	0	0	**0**	NA
Other Means	0	0	0	**0**	NA
Issue Type Summary (If Mulitple, Predominate Cited)					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
Fraud/Waste/Abuse	0	0	0	**0**	NA
Misconduct	0	0	0	**0**	NA
Discrimination	0	0	0	**0**	NA
Outcome					
Type/Period	**12-2020**	**01-2021**	**02-2021**	**Total**	**%**
In Progress	0	0	0	**0**	NA
Closed	0	0	0	**0**	NA
Open	0	0	0	**0**	NA

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Assessing the Impact of COVID-19 Moving Forward

In drafting the FY21 CRWP, UNT Dallas has remained vigilant in identifying and assessing emerging risks brought to bear by the COVID-19 pandemic. Below provides an overview of the process and the mapping of risks for the FY21 CRWP.
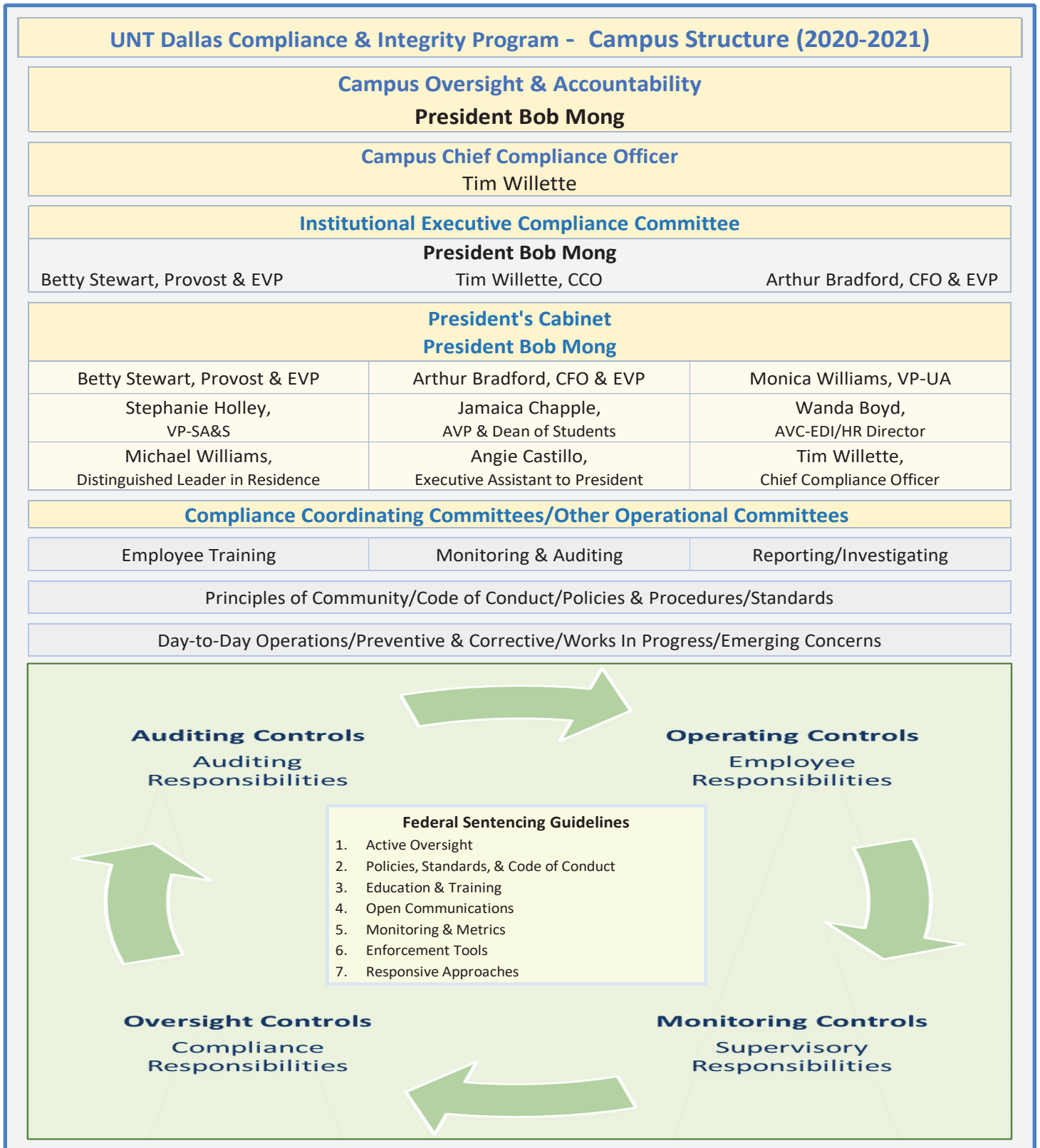

Compliance Risk Assessment Process

Identify Current Compliance Risks	Review & Assess 2nd Line of Defense	Rank & Prioritize Compliance Risks	Partner with Leadership	Draft FY21 Compliance Risk Work Plan
Gather Information • FY20 CRWP Review • ERM Risks • Strategic Initiatives • SME & Stakeholder Input • Emerging Risks: COVID-19	**Collaborate with:** • CCOs • Internal Audit • SMEs & Stakeholders	**Rank Risks** Average of: • Likelihood + • Severity/Impact + • Level of Control	**Prioritize Risks** • Assess KRIs • Determine KPIs	**Implement CRWP**

Compliance Risk Assessment for FY22

Commitment & Focus:
- Review FY21 CRWP
- Collaborate with Other CCOs/IA/Risk Services
- Review Risk Registry
- Meet with Stakeholders
- Review Strategic Plans

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Appendix A:
Compliance and Integrity Program Organizational Overview

UNT Dallas Compliance & Integrity Program - Campus Structure (2020-2021)

Campus Oversight & Accountability
President Bob Mong

Campus Chief Compliance Officer
Tim Willette

Institutional Executive Compliance Committee
President Bob Mong

Betty Stewart, Provost & EVP	Tim Willette, CCO	Arthur Bradford, CFO & EVP

President's Cabinet
President Bob Mong

Betty Stewart, Provost & EVP	Arthur Bradford, CFO & EVP	Monica Williams, VP-UA
Stephanie Holley, VP-SA&S	Jamaica Chapple, AVP & Dean of Students	Wanda Boyd, AVC-EDI/HR Director
Michael Williams, Distinguished Leader in Residence	Angie Castillo, Executive Assistant to President	Tim Willette, Chief Compliance Officer

Compliance Coordinating Committees/Other Operational Committees

Employee Training	Monitoring & Auditing	Reporting/Investigating

Principles of Community/Code of Conduct/Policies & Procedures/Standards

Day-to-Day Operations/Preventive & Corrective/Works In Progress/Emerging Concerns

Auditing Controls
Auditing Responsibilities

Operating Controls
Employee Responsibilities

Federal Sentencing Guidelines
1. Active Oversight
2. Policies, Standards, & Code of Conduct
3. Education & Training
4. Open Communications
5. Monitoring & Metrics
6. Enforcement Tools
7. Responsive Approaches

Oversight Controls
Compliance Responsibilities

Monitoring Controls
Supervisory Responsibilities

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Agencies that Accredit UNT World Programs

<u>UNT, Denton</u>

AACSB   The Association to Advance Collegiate Schools of Business, *G. Brint Ryan College of Business*

ABET   Accreditation Board of Engineering and Technology, *College of Engineering*

ACPHA   Accreditation Commission for Programs in Hospitality Administration, *Hospitality*

ACJMC   Accrediting Council on Education in Journalism and Mass Communications, *Frank W. and Sue Mayborn School of Journalism*

AAFS   American Academy of Forensic Science, *Forensic Science*

ACS   American Chemical Society, *Chemistry*

ALA   American Library Association, *Library Sciences*

APA   American Psychological Association Commission on Accreditation, *Psychology*

ASHA   American Speech-Language-Hearing Association, *Audiology*

ABAI   Association for Behavior Analysis International, *Behavior Analysis*

CEA   Commission on English Language Program Accreditation, *Intensive English Language Institute*

CACREP   Council for Accreditation of Counseling and Related Educational Programs, *Counseling*

CIDA   Council or interior Design Accreditation, *Interior Design*

CORE   Council on Rehabilitation Education, *Rehabilitation*

CSWE   Council on Social Work Education, *Social Work*

NASAD   National Association of Schools of Art and Design, *College of Visual Arts and Design*

NASM   National Association of Schools of Music, *College of Music*

NASPAA   National Association of Schools of Public Affairs and Administration, *Public Administration*

NCATE   National Council for Accreditation of Teacher Education, *College of Education*

SACSCOC   The Southern Association of Colleges and Schools Commission on Colleges, *UNT*

TEA   Texas Education Agency, *College of Education*

UNT Dallas

CACREP   Council for Accreditation of Counseling and Related Educational Programs, *Counseling*

SACSCOC   The Southern Association of Colleges and Schools Commission on Colleges *UNTD*

TEA   Texas Education Agency, *School of Education*

UNT Health Science Center

AACOM   American Association of Colleges of Osteopathic Medicine, *TCOM*

AACP   American Association of Colleges of Pharmacy, *UNT System College of Pharmacy*

AALAC   Association for Assessment and Accreditation of Laboratory Animal Care International, *Laboratory Animals*

ACCME   Accreditation Council for Continuing Medical Education, *INCEDO*

ACPE   Accreditation Council for Pharmacy Education, *UNT System College of Pharmacy*

AGME   Accreditation Council for Graduate Medical Education, *INCEDO*

ANAB   ANSI-ASQ National Accreditation Board, *Center for Human Identification*

ANCC   American Nursing Credentialing Center, *Continuing Nursing Education*

AOA   American Osteopathic Association, *Continuing DO Education*

ARCPA   Accreditation Review Commission on Education for the Physician Assistant Inc., *Physician Assistant*

BRN   Board of Registered Nursing, *Continuing Nursing Education*

CAPTE   Commission on Accreditation in Physical Therapy Education, *Physical Therapy*

CAHME   Commission on Accreditation of Healthcare Management Education, *Health Administration Programs*

CEPH   Council on Education for Public Health, *School of Public Health*

COCA   Commission on Osteopathic College Accreditation, *TCOM*

SACSCOC   The Southern Association of Colleges and Schools Commission on Colleges

                      UNTHSC

TMB   Texas Medical Board, *TCOM*

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Texas Higher Education Coordinating Board
Texas Public Universities and Health-Related Institutions

Proposal for a New Doctoral Program

Directions: Texas public universities and health-related institutions complete this form to propose a new doctoral degree program. This form requires signatures of (1) the Chief Executive Officer, certifying adequacy of funding for the new program; (2) the Chief Executive Officer, acknowledging agreement to reimburse expert external reviewers' costs; (3) the Chief Financial Officer, certifying the accuracy of funding estimates for the new program; (4) a member of the Board of Regents (or designee), certifying Board of Regents approval for Coordinating Board consideration; or, if applicable, (5) a member of the Board of Regents (or designee), certifying that criteria have been met for Commissioner consideration. Institution officials should also refer to Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.46, *Criteria for New Doctoral Programs.*

Note: An institution must submit Planning Notification prior to submitting a proposal for a new doctoral program. An institution is considered by the Board to be planning for a new doctoral program if it takes any action that leads to the preparation of a proposal for a new program. This includes hiring personnel, including consultants and planning deans, leasing and/or purchasing real estate, building facilities, and/or developing curriculum. Planning Notification must be submitted at least one year prior to submission of a proposal to offer the degree, if the proposed program leads to the award of a professional degree, as defined by Texas Education Code 61.306. Institutions submit Planning Notification through the online submission portal, as a letter to the Assistant Commissioner of the Academic Division of Academic Quality and Workforce.

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

Administrative Information

1. **Institution Name and Coordinating Board Accountability Group:**

   University of North Texas, Emerging Research Group

2. **Proposed Program:**
   Show how the proposed program would appear on the institution's Program Inventory (e.g., Doctor of Philosophy in Electrical Engineering).

   Doctor of Business Administration (DBA)

3. **Proposed CIP Code:**
   List of CIP Codes may be accessed online at www.txhighereddata.org/Interactive/CIP/. Include justification if the proposed program name is not included in the Texas Classification of Instructional Programs.
   52.0101 Business/Commerce, General

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

The proposed program will be delivered at the UNT at Frisco Hall Park off-site instructional location in a web-enhanced face-to-face format. Face-to-face sessions will be held four times in a semester, each over a two-day period.

5. Administrative Unit:
Identify where the proposed program would fit within the organizational structure of the institution (e.g., Department of Electrical Engineering within the College of Engineering).
The program will be housed under the G. Brint Ryan College of Business

6. Program Description:
Describe the proposed program.
The University of North Texas G. Brint Ryan College of Business seeks approval to launch a new Doctor of Business Administration (DBA) program aimed at business executives and mid-career managers with a master's degree and at least ten years of managerial experience. The target population lives and/or works in the Dallas-Fort Worth metroplex (primary market) or in Texas and surrounding states within four hours of the DFW area (secondary market). The program will be delivered in a web-enhanced face-to-face format with face-to-face sessions held on four weekends in every semester.

The new DBA program aligns with UNT's strategic planning priorities. It will (1) elevate the national prominence and value of UNT by producing well-prepared executive level graduates who can become corporate leaders, respected consultants or academics, (2) increase revenue as a self-pay premium price program, (3) prepare graduates (directly in the DBA program and in other programs through interaction between these executives and faculty) to be competitive in the marketplace, and (4) bring key stakeholders (industry managers) into our academic culture, enhancing our other programs and assisting in continuous improvement.

The program will be offered in a hybrid experiential executive education format blending face-to-face instruction with online activities (less than 45%). Face to face classes will initially be offered on four weekends in every semester at UNT's Frisco campus.

The educational objective of the DBA is to offer a terminal degree in business to business executives in a format that allows them to continue working. The program will train these highly experienced professionals in business theory, advanced business applications, project analysis and research methods. The goal is to augment their business experience with a deeper understanding of theory and tools, and to provide a credential that enables transition to academic careers or enhancement of their current careers.
Note: required courses will have a distinct prefix (EDBA) to distinguish them from courses offered in the PhD program.

7. Proposed Implementation Date:
Provide the date that students would enter the proposed program (MM/DD/YYYY).
08/15/2022

8. Institutional and Department Contacts:
Provide contact information for the person(s) responsible for addressing any questions

related to the proposal.

1. Name: Elizabeth Vogt

    Title: Assistant Vice Provost

    E-mail: Elizabeth.Vogt@unt.edu

    Phone: 940-369-5288 (469-263-3284/Cell)

2. Name: Dr. Audhesh Paswan

    Title: Associate Dean for Academic Affairs

    E-mail: Audhesh.Paswan@unt.edu

    Phone: 940-565-3121

Proposed Doctoral Program Information

I. Need

A. Job Market Need

Demonstrating the need for additional graduates in the field is vital. Provide short- and long-term evidence of the need for graduates in the Texas and U.S. job markets. Cite the Bureau of Labor Statistics, Texas Workforce Commission, professional association data, and other documented data sources to create a supply/demand analysis. Institutions should be able to show how the number of new graduates produced both in Texas and nationally compares to the number of job openings that require a doctoral degree in the discipline now and in the future on both the state and national levels. The use of predictive modeling is encouraged. If the program is designed to address particular regional or state needs in addition to workforce demands, provide a detailed description.

Among the goals identified in the Texas Workforce Commission's Strategic Plan for the period 2019-2023 are to support a workforce system that allows employers and workers to achieve and sustain economic prosperity; prepare individuals for employment by supporting education and training that equips them with in-demand skills as identified by employers. The proposed DBA degree at UNT seeks to support the achievement of the TWC goals by providing a platform for business executives to get a terminal degree in business while still anchored in business practice. This program is designed to nurture and develop Scholar-Practitioners.

Entrepreneur and Professor Kevin Taylor notes that "Many successful business executives … begin to look outside their current careers for new challenges. Some … decide to pursue the challenge of obtaining a doctoral degree–whether with the goal of obtaining a full-time professorship, of adding research skills to their skillset, or of enjoying the knowledge they've earned the highest academic degree in their field. (https://www.founderscholar.com/dba-degree/).

Not surprisingly, many individuals seeking an executive format doctorate in business are looking to either advance in their current field or build skills they can utilize in their current position/field. Others are looking to transition into a consulting practice that relies on an expertise in practical research. However, most will transition into a teaching and applied research position, often in post-secondary higher education. In a 2015 publication appearing in the International Journal of Doctoral Studies, Grabowski and Miller reported that 74% of executive doctorate graduates in business were teaching or planning to teach in the near future. The Bureau of Labor Statistics projects that in the 2019 – 2029 period, the growth rate in jobs in post-secondary business education will be nearly 10%, or 121,500 positions; a growth rate much faster than the average.

Each year, AACSB, the primary business school accrediting body, surveys its members. One issue they address is (an?) untapped need for doctoral faculty. In 2019-20, the AACSB survey results identified 407 authorized, funded, full-time doctoral positions that were unfilled. In addition, schools anticipated nearly 800 retirements over the next 5 years, plus a net planned growth of 296 positions during that same time period. These only represent positions among AACSB-accredited institutions who choose to report annually. The results do not include

community colleges and many other schools that offer undergraduate degrees in business where executive doctorates with recent industry experience may be particularly attractive. Thus, these data support the BLS reports of high growth rate in positions for graduates of programs like that proposed.

Further data from AACSB on employment outcomes of doctoral graduates likewise demonstrates that students from doctoral programs in business, regardless of whether they are applied or research degrees, are highly employable. In the most recent report from AACSB, 81% of all students graduating from doctoral programs reported seeking employment at graduation. However, about 15% were already employed and planned to remain with their current employer. For these 15%, an executive doctorate emphasizing applied research skills may be particularly attractive. Of those seeking a new position, 90% reported finding one by graduation and another seven percent within three months after graduation.

Over the past three years, AACSB-reporting institutions conferred approximately 1100 doctoral degrees annually. Half of these are generally awarded to international students. While many of these students intend to apply for faculty positions in the United States, others will accept positions in their home country or in other nations. Clearly, the ability to meet the demands projected by the Bureau of Labor Statistics for post-secondary business educators will not exist without an expansion of educational opportunities such as the proposed program.

B. Existing Programs

The information provided indicates knowledge of existing programs in Texas and of high-ranking programs nationally. This section provides an understanding of program duplication, capacity, and quality. Identify all existing degree programs in the state, include those specific to the region and major programs at peer institutions across the nation. Peer institutions have similar missions, doctoral-research/scholarship programs, and research expenditures. Peer institutions include, but are not limited to, out-of-state peer groups identified in the Coordinating Board's Accountability System.

Identify the existing programs and their locations in Texas. Provide enrollments and graduates of these programs for the last five years, and explain how the proposed program would not unnecessarily duplicate existing or similar programs in Texas. Provide evidence that existing Texas programs are at or near capacity and describe how the existing programs are not meeting current workforce needs. Provide the job placement of existing Texas programs.

Include an assessment of capacity to accept additional students in existing Texas programs. One indicator of capacity is the faculty-to-student ratio in existing programs in the discipline. Another indicator is the number of students admitted to a program in comparison to the number of qualified applicants.

In North America, EDBAC (The Executive DBA Council) estimates that there are around 40 executive format DBA type programs (not including for-profit and online schools) and together they enroll around 400 to 800 students every year (https://executiveDBA.org/). Some of the well-known DBA programs at peer institutions include those at Georgia State University, Temple

University, Case Western and Oklahoma State University. These universities also offer PhD Programs.

Within the state of Texas, there are only two universities that currently offer DBA programs - the University of Dallas (a private school) and the University of North Alabama in Houston (a public university from Alabama that just started offering classes locally in 2020). No state funded university in Texas is offering a DBA program, although several are contemplating these programs due to the significant unmet need.

North of DFW, Oklahoma State and Creighton offer DBA degrees in executive formats. To the west, there are no programs outside of California. Most of the universities offering executive DBA programs are in the eastern part of USA.

In the last four years, the University of Dallas has admitted between 11 and 15 students, with the exception of 2016 when they added only 6 students. Oklahoma State University during the same period has enrolled between 8 and 13 students each year. These competitors differ from UNT in that University of Dallas is private and Oklahoma State University does not currently offer concentrations within the degree. The University of Northern Alabama's website suggest that their cohort size will be 15.

A fuller discussion of capacity limitations is provided in the next section. Rising applications to executive DBA programs without a commensurate increase in acceptances and capacity suggest significant unmet need.

C. Student Demand

Provide short- and long-term evidence of student demand for the proposed program. Types of data commonly used to demonstrate this include increased enrollment in related and feeder programs at the institution, high enrollment in similar programs at other institutions, qualified applicants rejected at similar programs in the state, and student surveys (if used, include data collection and analysis methods). Surveying students currently enrolled in feeder programs provides limited data about actual student demand. Information that demonstrates student interest includes the development of a student interest group. Provide documentation that qualified applicants are leaving Texas for similar programs in other states.

Looking at the enrollments at universities in our vicinity (UD, UNA, and OSU) we believe that there is untapped demand for an executive DBA program.

Our target students are business executives and mid-career managers with a master's degree and at least ten years of managerial experience. The target population lives and/or works in the Dallas-Fort Worth metroplex (primary market) or in Texas and surrounding states within four hours of the DFW area (secondary market).

The DFW Metroplex is growing more rapidly than other parts of the US, attracting a significant number of corporate headquarters and expansion sites. This growth provides not only a population of potential students, but also a market to employ them after they graduate. Further,

the State of Texas 60X30TX initiative puts increasing pressure on the state to provide greater college access, driving demand for more faculty. The current DFW population is 6.3 million, of which about 15% (close to 1 million) have post graduate degrees, higher than the state average of 10%. This provides a sizeable qualified population from which to draw applicants. A stumbling block for many of these potential applicants has been the inability to continue working while earning an accredited doctorate degree. The proposed DBA program proposes to empower and enable future scholar-practitioners in parallel with their existing careers.

An examination of applications and admissions across schools who have reported to AASCB on their executive doctorate enrollments in business over the past five years shows a rich and growing market for potential students. In AY 2015-16, five universities reported a total of 230 applications with 138 admissions. By AY 2019-20, the numbers of schools reporting had risen to eight. Across those eight institutions, 377 applications for executive doctorate programs were reported with a total admission of 184. While the numbers of applications rose by 64%, the numbers of offers of admission had increased by only 33%, demonstrating a clear unmet need for executive doctorate programming. Annually, more than one-third to more than half of the demand for such programs goes unmet, according to the data available from AACSB.

The difference was even more stark when looking solely at the application and admission offer data for the one university in the State of Texas currently offering an executive doctorate in business. In AY 2015-16, the University of Dallas reported 70 applications for its executive doctorate program and only 34 offers of admission. More than half of the demand for the UD program went unmet. This unmet need has grown modestly with only 45% of applicants to that program having been offered admission to the program.

Enrollment data across reporting institutions shows similar trends. In AY 2015-16, six universities reported enrollment data. Across these institutions, there was a total enrollment of 240, with an average enrollment of 40 students. By AY 2019-20, nine institutions were reporting on their enrollment in executive doctorate programs in business. In AY 2019-20, these institutions reported a total enrollment of 473 students with an average of enrollment of 53 students. The numbers of enrolled students nearly doubled in just five years. Similarly, like demand and unmet need at the University of Dallas, the program at Oklahoma State University also reported an increase in enrollment of 26% from AY 2016-16 to AY 2018-19.

D. Student Recruitment
Plans to recruit students are realistic and based on evidence of student demand and unmet need in similar programs in Texas. Indicate if the proposed program and its discipline are projected to have a special attraction for students of a particular population. Be specific about efforts to recruit students from underrepresented groups.

UNT RCOB regularly receives inquiries from potential students who would like to join a doctoral program while continuing to work full-time. Without formal recruitment or advertising, an average of five manager or executive level individuals contact us annually to inquire whether this is possible. We also work closely with a large number of corporations in the area, many of whom are engaged with our MBA program.

Once the degree is approved, we will launch a formal recruitment plan incorporating multiple

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elements:

(1) Personalized communication to and meetings with corporate executives in the DFW area. This outreach will focus on asking companies for assistance in identifying their employees who might be suitable candidates for the degree. For example, major accounting firms regularly encourage senior managers who are not likely to reach partner or principal status to transition into academia, due to the shortage of accounting faculty with deep practical knowledge.

(2) Individual recruiting from the pool of more than 100 individuals who have taught on an adjunct basis with us over the past five years. These potential candidates have experience and a demonstrated interest in teaching, and hold master's degrees.

(3) Outreach to community colleges and universities in the region whose adjunct and lecturer level faculty need terminal degrees. We anticipate holding events at these campuses where appropriate, and/or asking deans and provosts to recommend candidates.

(4) Continued participation in The PhD project, a national consortium focused on increasing minority presence in graduate programs and academic ranks. UNT faculty leaders host an information and recruiting booth at their conference each year and would add targeted recruiting for the DBA to the PhD recruitment efforts.

(5) Fund-raising activities to endow scholarships for selected students in the program. While most students will be employed at high levels, with salaries that can easily fund their tuition, those in lower level teaching positions are less able to do so. Scholarships will increase the opportunity to recruit underrepresented populations into the program.

(6) Use of professional social media such as LinkedIn to publicize the program and increase awareness nationally.

E. Enrollment Projections

Enrollment projections are realistic and based on demonstrable student demand. Projections take into account student attrition, graduation rates, and part-time students. Attrition calculations should be based upon the average rates of related supporting graduate programs at the institution, if available.

Complete Table 1 to show the estimated cumulative headcount and full-time student equivalent (FTSE) enrollment for the first five years of the proposed program, including the ethnic breakdown of the projected enrollment (White, African American, Hispanic, International, Other). Include summer enrollments, if relevant, in the same year as fall enrollments. Subtract students as necessary for projected graduations or attrition. Provide explanations of how headcounts, FTSE numbers, projections for underrepresented students, and attrition were determined. Define full-time and part-time status.

Table 1. Enrollment Projections

	Year 1	Year 2	Year 3	Year 4	Year 5
White	4	3	4	3	4
African American	2	1	2	2	3
Hispanic	2	2	2	3	3
International	0	1	1	2	2

Other	**0**	**2**	**1**	**2**	**3**
Total New Students	**8**	**9**	**10**	**12**	**15**
Attrition	**1**	**1**	**1**	**2**	**2**
Cumulative Headcount	**7**	**15**	**24**	**27**	**32**
FTSE	**7.5**	**15.5**	**23.5**	**26**	**31**
Graduates	**0**	**0**	**7**	**8**	**9**

Enrollment projections are based on analyzing student diversity in our existing masters and PhD programs. As an HSI and an MSI, we have a highly diverse student body that closely mirrors the population of Texas, and we would continue recruiting from the same population base that we currently serve. We have also been recognized as a top ten program nationally for the diversity of our PhD student population. International enrollment is likely to be lower in this program than in our PhD program, as those individuals are typically less likely to seek a DBA as compared to a PhD. Ethnic breakdowns shown in the table refer to the new student population and are not cumulative. All students are full time and take classes as a cohort. While limited exceptions could be provided for special circumstances, these are not likely. The FTSE count assumes that attrition occurs at the midpoint of the year.

II. Academics

A. Accreditation

If the discipline has a national accrediting body, describe plans and timeline to obtain accreditation. For disciplines where licensure of graduates is necessary for employment, such as clinical psychology, plans for accreditation are required. If the program will not seek accreditation, provide a detailed rationale. If doctoral-level accreditation is not available but is projected to become so within the next five years, include that information. It is not necessary to provide copies of the accreditation criteria.

The G. Brint Ryan College of Business is accredited by AACSB International - The Association to Advance Collegiate Schools of Business. The University of North Texas is also accredited by the Southern Association of Colleges and Schools, Commission on Colleges (SACSCOC). AACSB accredits all programs delivered by the College, so the program would hold that accreditation status from inception. Subsequently, it would be evaluated as part of the whole on a five-year renewal cycle. Notice of new program would be provided to SACSCOC upon approval by THECB.

B. Admissions Standards

Admissions standards are set to admit the most qualified students through a rigorous and competitive process. Standards are appropriate for the discipline. Standards are set to ensure full enrollment, as projected in the proposal, and will allow the program to become nationally recognized.

Describe the institution's general graduate admissions standards and the program-specific admissions standards for applicants of the proposed program. The description addresses how the proposed program will seek to become nationally competitive. Provide specific information about minimum grade point averages, standardized test score, and TOEFL iBT score requirements. Explain how students will be assessed for readiness to enroll in program coursework. Include any policies for accepting students transferring from other graduate programs. Explain whether the proposed program will accept full-time and part-time students.

Admission into the current RCOB PhD program is holistic in nature and uses multiple indicators including officially transcripted undergraduate and master's grade point averages, standardized test scores (either GMAT or GRE), TOEFL or IELTS scores or equivalent for international applicants, previous experience, a personal essay, three recommendation letters and an interview. Candidates generally have GMAT scores in the high 600 range or above or equivalent GRE converted scores. GPAs are 3.5 or better. Language test scores must meet the same standard as all UNT graduate programs, described here https://admissions.unt.edu/international/english-language-requirements.

Admission into the DBA will also be holistic, with the same indicators used for the PhD program except that GMAT/GRE scores will not be required. We believe the significant level of industry or academic experience required of candidates will be an equally appropriate measure of their ability to succeed. We will also increase emphasis on the interview and letters of recommendation. Prestige and ranking for this program will be based on the records and reputations of participants rather than on test scores.

All students will enroll full-time, as the class meeting schedule is structured to accommodate work responsibilities. Transfer students would not normally be admitted with prior course credit except in limited circumstances, due to the cohort nature of the program.

C. Program Degree Requirements

Describe the similarities and differences between the proposed program and peer programs in Texas and nationally. Indicate the different credit hour and curricular requirements, if any, for students entering with a bachelor's degree and students entering with a master's degree. Minimum semester credit hours should be comparable to peer programs. Texas Education Code 61.059 (l) limits institutions from receiving formula funding for doctoral students who have taken more than 99 total semester credit hours. Provide a justification if the program requires more than 60 semester credit hours beyond the master's degree or 90 hours beyond the baccalaureate. Acceptable justifications may include licensure or accreditation requirements.

Complete Table 2 to show the degree requirements of the proposed program. If requirements vary for students entering with a master's degree or comparable qualifications, provide an explanation. Modify the table as needed. If necessary, replicate the table to show more than one option.

Table 2: Semester Credit Hour Requirements by Category

Category	SCH Entering with a Bachelor's	SCH Entering with a Master's
Required Courses		27
Electives		12
Dissertation		9
Other (Specify, e.g., internships, clinical work, residencies)		
TOTAL[1]	NA – Master's required	48

[1] Texas Education Code 61.059 (l) limits funding for doctoral students to 99 SCH. Programs may be allowed to require additional SCH, if there is a compelling academic reason.

Complete Table 3 to provide a comparison of the proposed program to existing and/or similar programs in Texas in terms of total required semester credit hours (SCH). Modify the table as needed.

Table 3. Semester Credit Hour Requirements of Similar Programs in Texas

Institution	Program CIP Code	Degree Program	SCH, Entering with a Bachelor's	SCH Entering with a Master's
University of Dallas	52.0101.00	DBA		61
University of North Alabama at Houston	52.0101.00	DBA		54

D. Curriculum

Describe the educational objectives of the proposed program. For the description of educational objectives, distinguish between aspects of the curriculum that are standard for the field and aspects that would be unique to the proposed program.

If the proposed program has a unique focus or niche, describe it in relationship to peer programs. Indicate how the niche or specialties of the proposed program are appropriate for the job market and student demand, and describe how they complement other peer programs in the state (or nation, if relevant).

Describe how the proposed program would achieve national prominence. Indicate if the proposed program is designed to have a particular regional focus.

Provide an explanation of required, prescribed, and elective courses and how they fulfill program requirements.

Describe policies for transfer of credit, course credit by examination, credit for professional experience, placing out of courses, and any accelerated advancement to candidacy. Provide a plan that would allow a student entering with relevant work experience to rapidly progress through the program or provide an explanation why this would not apply.

Identify any alternative learning strategies, such as competency-based education, that may increase efficiency in student progress in the curriculum. If no such policies are in place to improve student progression through a program, provide an explanation.

Complete Tables 4, 5, and 6 to list the required/core courses, prescribed elective courses, and elective courses of the proposed program and semester credit hours (SCH). Note with an asterisk (*) courses that would be added if the proposed program is approved. Modify the tables as needed. If applicable, replicate the tables for different tracks/options.

The curricular objectives of the proposed DBA program are to:
1. provide an advanced business education leading to a terminal degree that links business theory with high-level expertise developed through business practice. This program is designed to nurture and develop scholar-practitioners while they continue in their business careers.
2. prepare graduates to conduct applied research, as compared to the emphasis on basic research in a PhD program.
3. give students in-depth knowledge of underlying business theory that will help them succeed in their new roles in industry or academia.

The foundation for achieving these objectives is built through five key research tools seminars – research foundations, applied regression analysis, applied multivariate orientation to research, applied data/text mining, and applied qualitative research.

In addition, all DBA students will take four seminars on topics that all academics and business executives must understand. These seminars integrate various aspects of business, and include strategy, managing complexity, value creation, and an integrative research and investigation seminar that will help them bring together their industry experiences and theoretical frameworks covered in the core seminars and concentration seminars.

Finally, students in this DBA program will take courses in a concentration area. This specialization will provide in-depth knowledge in a functional area of business and will prepare graduates for teaching or consulting should they choose those paths. In the first cohort we will offer a concentration in Business Computer Information Systems (BCIS), while the second cohort may select BCIS or a concentration in Accounting. Additional concentrations may be added as demand increases. Those electives may include any 4 graduate level courses from the existing suite of courses in the appropriate area.

These seminars will be taught primarily by faculty who have a demonstrated expertise in applied research. These seminars will integrate theoretical perspectives with business practice. Students will develop research questions that are anchored in industry practices but supported with theoretical foundations. The program directly addresses the needs of mid-level corporate managers who want to earn a terminal degree while still working but preparing for a transition.

The program will not offer credit for work experience, since high level work experience is a mandatory requirement for admission. In fact, the curriculum will build directly on the student work experience, and the nature of the cohort interaction will encourage students to learn from each other under faculty guidance. Graduates will be prepared to offer their rich experience, strengthened by analytical skills and a theoretical foundation, to business students and consulting clients

Courses with an asterisk, while new to this degree and offered as separate sections for students in the DBA cohort, are modifications of existing courses tailored to the needs of this special group.

Table 4. Required/Research Method Courses (15 hrs)

Prefix and Number	Required/Core Course Title	SCH
*EDBA 6450	Research Foundation	3
*EDBA 6220	Applied Regression (Econometric) Analysis	3
*EDBA 6240	Applied Multivariate (Psychometric) Orientation to Research	3
*EDBA 6XXX	Applied Data/Text Mining	3
*EDBA 6XXX	Applied Qualitative Research	3

Table 5. Prescribed Core Courses (12 hrs)

Prefix and Number	Prescribed Elective Course Title	SCH
*EDBA 6030	Business Strategy	3
*EDBA 6XXX	Managing Complexity – Theory and Practice	3
*EDBA 6XXX	Value Creation – Theory and Practice	3
*EDBA 6XXX	Integrative Research/Investigation	3

Table 6. Elective/Concentration Courses (12 hrs)

These courses would be taken from one of the concentration areas based on the student's interest and in consultation with the program advisor.

Prefix and Number	Elective Course Title	SCH

EDBA 6XXX	Concentration area – student's choice	3
EDBA 6XXX	Concentration area – student's choice	3
EDBA 6XXX	Concentration area – student's choice	3
EDBA 6XXX	Concentration area – student's choice	3

Example – a student specializing in Business Computer Information Systems could take BCIS 6660, BCIS 5700, BCIS 5740, and BCIS 5140.

Table 6. Elective Courses (9 hrs)

Prefix and Number	Elective Course Title	SCH
EDBA 6950	Dissertation	3
EDBA 6950	Dissertation	3
EDBA 6950	Dissertation	3

We do not plan to offer credit for work experience or accelerated progress in the program, with the exception that the dissertation could be completed in less than one year if the student is well-prepared and efficient. We do not anticipate transfer credit into the program due to its unique nature. However, courses taken at the doctoral level at other AACSB-accredited institutions would be evaluated for potential award of credit.

E. Candidacy and Dissertation
If the proposed program requires a dissertation, describe the process leading to candidacy and completion of the dissertation. Describe policies related to dissertation hours, such as a requirement to enroll in a certain number of dissertation hours each semester. If there is no dissertation required, describe the summative activities leading to the degree. Indicate if a master's degree or other certification is awarded to students who leave the program after completing the coursework, but before the dissertation defense.

In addition to satisfying the general requirements for all UNT doctoral degrees and the course requirements, each DBA student must satisfactorily complete the following:
- a residency requirement consisting of two consecutive terms/semesters of enrollment in at least 9 credit hours, or 3 consecutive terms of enrollment in at least 6 credit hours.
- DBA committee formation. The committee should have at least 3 members from within the RCOB qualified to supervise the dissertation. Additional graduate faculty from other colleges or universities may join the committee with the permission of the committee chair.
- DBA qualifying requirement. The student shall complete all of the research methods and core courses with a grade of B or higher. A qualifying assessment will be conducted by the student's DBA committee to assure the dissertation readiness of the candidate.
- dissertation proposal defense. The student shall complete an oral presentation of a detailed research plan. The research plan is distributed to the committee well in advance and an examination announcement will be distributed for interested graduate faculty and students.

- dissertation defense. Upon completion, the dissertation is to be distributed to the committee members before the final examination date. The candidate will prepare a formal presentation of their dissertation research and results to be defended during an oral exam.

Students will typically complete the dissertation over one calendar year, taking 3 credits each in summer, fall and spring terms. If the student fails to defend the dissertation after the completion of 9 dissertation credits, they must enroll in 1 additional credit of dissertation research each semester until the final defense is accepted. There is no plan to award an additional master's degree to students who fail to complete the dissertation, since students must enter the program with a master's degree in a business or related field.

F. Delivery Modes, Use of Distance Technologies, and Delivery of Instruction

If an institution is offering more than 50 percent of its proposed program via distance education modality, the Learning Technology Advisory Committee will also review the proposed program. It is expected that if an institution offers *any* portion of its program via distance education that it will have sufficient technology resources to deliver doctoral-level education from a distance without sacrificing quality. Provide documentation that the distance education options are appropriate for the course content and built into the curriculum accordingly.

Describe the use of distance technologies in the program, including a description of interactions between students and faculty, opportunities for students to access educational resources related to the program, exchanges with the academic community, and in-depth mentoring and evaluation of students.

Describe the various delivery modes that will be used to deliver coursework and any special arrangements for specific sites where students will meet. Describe equipment, software, and connectivity needs for delivery of this program both for students and for the institution.

Include a specific emphasis on the delivery mode(s) and include the following information:
   a. Describe the typical course and its delivery method.
   b. Describe the presence of text, graphics, video clips, graphical interactions, and self-tests, etc.
   c. Will courses be taught completely on-line or will they be hybrid? If a course or program will include face-to-face meetings, how will they occur?
   d. What platform will be used to deliver the electronic components of the program?
   e. How will sustained faculty-student and student-student interaction be facilitated?
   f. What is the anticipated student-faculty ratio?

We intend to offer the DBA program on weekends (Friday through Sunday, four weekends per semester) to align with the schedules of working professionals. These weekends are used by the faculty to emphasize experiential learning, analysis and applications. Since the maximum class size will be 15 students, courses will meet in a seminar format. Significant participation by students and interaction with faculty are integral to this method.

Readings, study materials projects and exercises will be delivered through UNT's Canvas platform. Students will be expected to use these online resources to prepare for weekend class meetings. Professors will create an experiential learning environment where students synthesize their industry experiences with the content knowledge put online, and through this process become effective scholar-practitioners.

All research foundation and core courses will be taught primarily face-to-face, with no more than 40% of content delivered through Canvas. Students may take some concentration courses online if deemed appropriate by their faculty mentors. In this event, the courses would be delivered through Canvas and would be certified as fully accessible and compliant with best learning practices by UNT's Center for Learning Experimentation, Application and Research (CLEAR). CLEAR's extensive resources and support systems are fully described at http://clear.unt.edu.

In addition to class meetings, faculty will hold regular office hours and tutorial sessions for students. These additional sessions will be held using Microsoft Teams or Zoom, or students may choose to come to the professor's office if convenient.

With total enrollment ranging from 7.5 FTSE in the first year up to 31 in the fifth year, and 4.8 faculty FTE in the early years, the student-faculty ratio will range from 1.56 to 6.46. However, with approximately 120 full-time faculty members in the Ryan College of Business, students will have other opportunities to engage with faculty for mentoring and dissertation support.

G. Program Evaluation

Describe how the proposed program will be evaluated. Describe any reviews that would be required by an accreditor, and show how the proposed program would be evaluated under Board Rule 5.52.

Describe procedures for evaluation of the program and its effectiveness in the first five years of the program, including admission and retention rates, program outcomes assessments, placement of graduates, changes of job market need/demand, ex-student/graduate surveys, or other procedures.

Describe how evaluations would be carried out. Describe how the results of evaluation would be used to improve distance delivery.

The institution's *Characteristics of Doctoral Programs* are current. Describe the plan for using the *Characteristics of Doctoral Programs* for ongoing evaluation of the proposed program and quality improvement. Include the link to the institution's designated website for existing doctoral programs.

The University of North Texas conducts periodic reviews of all academic degree programs in order to promote academic quality and productivity and to assure alignment with the mission of the institution.

The DBA program and other existing programs will be reviewed in the context of an overall department review. The Office of University Accreditation is responsible for coordinating the

graduate program review process. The office maintains the review schedule, provides the standard reporting format and data, structures the review process, maintains records of the outcomes, and monitors relevant follow-up. As per THECB, graduate program review by external teams from peer or aspirant schools typically takes place on a rotating 10-year cycle. However, new doctoral programs have a review after 5 years.

The University of North Texas has a rigorous process of assurance of learning (AOL). Student learning outcomes are defined in advance in the Improve system for every program area, along with metrics for assessment. At the end of each academic year, the college or administrative unit reviews performance for each learning outcome and makes recommendations for any needed changes. Outcome measures include such elements as student performance on selected exams, progression, placement, skills metrics, retention and other key factors.

Consistent with THECB's mandatory 5-year long, annual evaluation cycle for new doctoral programs, the college will insure that AOL metrics address DBA students' attainment of learning outcomes and progress to degree in detail. The outcomes will be tracked on Improve. RCOB will also conduct exit interviews with all graduates to collect information on job placements, initial salaries, program satisfaction and related metrics. These processes provide feedback to the academic unit to make sure expected outcomes are met and to further improve student learning.

UNT also uses the 18 Characteristics of Doctoral Programs to examine program effectiveness. The measures are tracked for the PhD program in Business and would be used in the same way for the DBA. The *Characteristics* document is the starting point for program reviews.

H. Strategic Plan and Marketable Skills

Describe how the proposed doctoral program fits into the institution's overall strategic plan, and provide the web link to the institution's strategic plan.

Describe how the proposed program will align with the state's *60x30TX plan*, and address the goals related to completion, marketable skills, and student debt. Specifically identify the marketable skills the students will attain through the proposed program. Explain how students will be informed of the marketable skills included in the proposed program.

Explain how the proposed program builds on and expands the institution's existing recognized strengths.

UNT's strategic plan is posted at https://planning.unt.edu/strategic-planning.

The proposed DBA clearly aligns with UNT's first of three strategic priorities, to "empower and transform students in their educational and social environments to set them up for lifelong learning success." The program adapts to the specific needs of the student's workplace and provides the transformative education needed for a career shift. The DBA also addresses a second strategic priority, "support, communicate, and celebrate a dedicated culture of scholarly activity at UNT to expand UNT's innovative impact for our students and our community." Doctoral programs are a focus of scholarly activity, where students and faculty create and disseminate new knowledge.

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All graduates of the proposed DBA program will have the following marketable skills:
1. Ability to identify problems anchored in business practices.
2. Ability to survey existing literature to ground the research problem.
3. Ability to conduct independent research.
4. Analytical and problem-solving skills.
5. A strong foundation in business theory to apply to practical business problems.

I. Related and Supporting Programs
Provide data on existing bachelor's and master's programs that would support the proposed program, including applications, admissions, enrollments, and numbers of graduates. Provide graduation rates of related and/or supporting master's programs.

Complete Table 7 with a list of all existing programs that would support the proposed program. This includes all programs in the same two-digit CIP code, and any other programs (graduate and undergraduate) that may be relevant. Include data for the applications, admissions, enrollments, and number of graduates for each of the last five years. Modify the table as needed. The example provided in Table 7 shows degree programs that would relate to or support an additional PhD in another area of chemistry, for example a proposal for a PhD in Chemistry (40.0501).

Table 7. Related and Supporting Programs

	2019-20	2018-19	2017-18	2016-17	2015-16
Undergraduate Programs					
Accounting (ACCT) - BBA/BS (52.0301.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	674	651	576	566	625
Graduates	172	182	169	183	207
Aviation Logistics (AVLG) - BS (49.0101.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	55	58	54	46	60
Graduates	26	21	20	18	34
Business Computer Information Systems (BCIS) - BS (11.0103.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	261	259	214	196	176
Graduates	94	91	69	68	54
Economics (BECO) - BBA (52.0601.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	41	38	42	49	59
Graduates	22	18	26	35	31
Business Analytics (BUAN) - BBA (52.1399.01)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA

Enrollment	117	104	79	39	NA
Graduates	44	44	34	19	NA
Business Integrated Studies (BUIS) - BBA (52.0101.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	188	146	122	72	50
Graduates	86	67	50	25	26
Decision Sciences (DCES) - BBA (52.1201.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	1	2	16	58	83
Graduates	NA	5	8	10	35
Entrepreneurship (ENMG) - BBA (52.0701.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	197	218	192	173	151
Graduates	94	78	71	58	42
Finance (FINA) - BBA (52.0801.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	474	475	453	492	491
Graduates	152	163	153	193	162
General Business (GNBU) - BBA (52.0101.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	3	0	1	22	58
Graduates	10	0	0	27	55
Organizational Behavior and Human Resource Management (HROB) - BBA (52.1003.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	184	177	176	166	161
Graduates	79	71	77	73	72
Logistics and Supply Chain Management (LSCM) - BS (52.0203.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	252	254	270	205	215
Graduates	105	113	97	73	93
Marketing (MKTG) - BBA (52.1401.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	561	556	458	456	465
Graduates	239	214	194	217	180
Operations and Supply Chain Management (OSCM) - BBA (52.0205.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	0	46	71	85	112
Graduates	NA	NA	28	40	47
Operations and Supply Management (OPSM) - BBA (52.0205.00)					
Applications	NA	NA	NA	NA	NA

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Admissions	NA	NA	NA	NA	NA
Enrollment	93	70	1	0	NA
Graduates	40	23	NA	NA	NA
Real Estate (REAL) BBA (52.1501.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	68	72	60	50	48
Graduates	27	28	21	17	18
Risk Insurance and Financial Services (RIFS) - BBA (52.1701.00)					
Applications	NA	NA	NA	NA	NA
Admissions	NA	NA	NA	NA	NA
Enrollment	96	92	72	74	84
Graduates	37	23	27	28	28
Masters Programs - MS					
Accounting (ACCT) - MS (52.0301.00)					
Applications	129	110	85	177	156
Admissions	89	75	53	91	92
Enrollment	127	114	121	122	137
Graduates	50	44	47	46	59
Taxation (ATAX) - MS (52.1701.00)					
Applications	84	49	43	55	49
Admissions	74	44	38	41	42
Enrollment	94	88	77	90	81
Graduates	42	36	42	35	29
Business Analytics (BUAN) - MS (52.1399.01)					
Applications	380	246	97	91	
Admissions	317	143	68	40	
Enrollment	132	81	68	29	25
Graduates	42	32	19	6	11
Finance (FNAN) - MS (27.0305.00)					
Applications	51	39	20	58	62
Admissions	51	22	11	25	24
Enrollment	26	14	22	28	37
Graduates	5	1	9	9	14
Information Systems & Tech - MS (11.0103.00.06)					
Applications		NA	NA	5	72
Admissions		NA	NA	1	33
Enrollment		NA	1	6	19
Graduates		NA	1	4	9
Masters Program - MBA					
Business Management - Cohort (BMGMT) - MBA (52.0201.00)					
Applications	43	46	NA	NA	NA
Admissions	43	32	NA	NA	NA
Enrollment	66	7	NA	NA	NA
Graduates	30	NA	NA	NA	NA
Business Analytics (BUAN) - MBA (52.1399.01)					
Applications	132	49			

Admissions	99	24			
Enrollment	49	1			
Graduates					
Business Administration (BUSI) - MBA (52.0201.00)					
Applications	886	575	433	504	463
Admissions	788	389	279	235	210
Enrollment	641	551	462	429	410
Graduates	146	162	142	121	127
PhD in Business (52.0101.00.16)					
Applications	149	132	133	149	170
Admissions	22	25	24	25	20
Enrollment	22	25	24	25	20
Graduates	18	19	19	9	22

J. Existing Doctoral Programs

The addition of a new doctoral program should build upon the success of the institution's current doctoral programs. Proposals for new doctoral programs will be considered in context to the success of an institution's existing doctoral programs. Provide the most recent five years of data on enrollments and numbers of graduates for existing doctoral programs.

Describe how existing closely related doctoral programs would enhance and complement the proposed program. Describe all interdisciplinary relationships of the proposed program with existing programs. Also, check to see if any of the institution's doctoral programs are on the Low-Producing Programs list. If any existing doctoral programs are low-producing, list them and provide an explanation for the low productivity and plans for addressing the issue. For new doctoral programs approved during the last five years, check the Annual Progress Reports to determine if the program(s) are meeting institutional projections. Address how the proposed program would meet the proposed projections.

UNT currently offers 34 doctoral programs. The following tables provide five years of enrollment data (J-1) and graduation data (J-2) for UNT doctoral programs.

Table J-1 Fall Program Enrollment	2016	2017	2018	2019	2020
Art Education-PHD	20	22	24	22	18
Audiology-AUD	44	44	45	44	45
Behavioral Science-PHD	10	10	13	15	18
Biochemistry & Molecular Biology-PHD	39	43	44	45	39
Biology-PHD	72	71	65	62	60
Business-PHD	63	83	86	92	85
Chemistry-PHD	70	89	85	85	86
Clinical Psychology-PHD	35	41	35	39	48
Computer Science and Engineering-PHD	93	104	112	109	105

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Counseling Psychology-PHD	46	48	46	47	49
Counseling-PHD	50	46	45	47	44
Curriculum and Instruction-PHD	83	87	79	77	64
Educational Leadership-PHD/EdD	66	90	108	106	80
Educational Psychology-PHD	71	71	76	78	66
Electrical Engineering-PHD	11	25	26	28	20
English-PHD	61	62	60	62	56
Environmental Science-PHD	15	16	17	15	12
Health Services Research (formerly Applied Gerontology)-PHD	9	16	30	31	30
Higher Education-PHD	88	78	88	84	65
History-PHD	47	45	46	53	55
Information Science-PHD	64	79	83	82	94
Learning Technologies-PHD	88	84	113	102	98
Materials Science and Eng.-PHD	48	61	65	58	62
Mathematics-PHD	53	45	44	43	42
Mechanical and Energy Eng.-PHD	23	32	39	49	36
Music Education-PHD	7	10	11	9	8
Music-PHD	45	50	60	63	59
Performance-DMA	312	325	316	310	275
Philosophy-PHD	32	32	31	29	32
Physics-PHD	46	60	53	59	63
Political Science-PHD	39	40	37	36	35
Public Administration & Management-PHD	30	28	34	29	24
Sociology-PHD	38	35	33	35	28
Special Education-PHD	41	32	23	17	20

Table J-2 Annual Program Graduation	2015-16	2016-17	2017-18	2018-19	2019-20
Art Education-PHD	3	2	5	4	3
Audiology-AUD	9	11	11	10	11
Behavioral Science-PHD	3	2	2	1	4
Biochemistry & Molecular Biology-PHD	4	0	5	4	4
Biology-PHD	6	10	12	6	4
Business-PHD	17	10	15	23	20
Chemistry-PHD	20	8	10	16	13
Clinical Psychology-PHD	7	4	10	6	6
Computer Science and Engineering-PHD	7	6	16	17	16
Counseling-PHD	9	9	7	5	10
Counseling Psychology-PHD	8	5	13	5	8

Curriculum and Instruction-PHD	5	9	16	17	12
Educational Leadership-PHD	15	15	24	14	28
Educational Psychology-PHD	5	6	6	10	11
Electrical Engineering-PHD	.	.	2	2	7
English-PHD	11	6	9	8	12
Environmental Science-PHD	5	0	1	3	3
Health Services Research (formerly Applied Gerontology)-PHD	1	3	2	2	5
Higher Education-PHD/EdD	9	13	2	8	5
History-PHD	6	4	4	4	11
Information Science-PHD	12	8	8	12	8
Learning Technologies-PHD	16	14	7	14	10
Materials Science and Eng.-PHD	12	9	9	15	3
Mathematics-PHD	5	9	6	9	6
Mechanical and Energy Eng.-PHD	2	4	1	2	5
Music Education-PHD	2	2	3	0	3
Music-PHD	5	4	5	5	6
Performance-DMA	45	40	44	53	49
Philosophy-PHD	5	2	4	5	2
Physics-PHD	6	6	7	7	6
Political Science-PHD	6	8	4	3	7
Public Administration & Management-PHD	6	3	3	3	13
Sociology-PHD	3	6	2	3	7
Special Education-PHD	2	5	3	8	1

Two doctoral programs appeared on the most recent Low Producing Program (LPP) List: Health Service Research PhD and Behavioral Science PhD

The Health Science PhD transitioned from the Applied Gerontology PhD in 2016. The Applied Gerontology PhD program did not accept new students from 2014 to 2016. At the time of transition, there were only nine students enrolled. The curriculum was overhauled and the Health Science Research PhD began accepting new students in fall 2017. As of fall 2020 the program had 30 students enrolled. With five graduates in 2020, this program will not appear on the LPP list in 2021.

The UNT Psychology Department changed the name of their Experimental Psychology PhD to Behavioral Science PhD in 2014 to reflect trends in the field. The program requires few resources as required courses overlap with other doctoral programs in the department. In addition, the Behavioral Science faculty teach core graduate courses that provide the scientific foundations of psychology required by the department's two additional doctoral programs. The degree provides a credential for students seeking careers in higher education, or research positions in university and private research centers, business, nonprofit, and governmental organizations. All eight recent graduates (2015-2019) are currently working in the field. The

program's action plan has been to accept a minimum of three new doctoral students each year. The program has six new doctoral students who will start in the 2020-2021 academic year. The students currently in the program are on track to complete their degrees in a timely fashion. Four students graduated in 2019-20, which brought the total to 12 graduates for the five year period (2016 through 2020). This program will not appear on the LPP list in 2021.

Currently, the RCOB at UNT has one PhD program with eight concentrations:
  a. Accounting
  b. Business Information Assurance
  c. Finance
  d. Information Systems
  e. Logistics
  f. Management
  g. Marketing
  h. Management Science

The existing PhD program in RCOB with its eight concentrations has healthy enrollment (around 80-92 in the last four years). All programs adhere to the 18-point criteria stablished by the THECB for evaluation of PhD programs and undergo annual as well as extensive 5-year evaluations.

The proposed executive DBA program will be the 2nd Doctoral program in the college, serving mid-level and senior managers and executives who want to pursue a doctoral degree that is anchored in business practices, while continuing to stay in their profession.

This addition will have synergistic effects on our existing PhD program and on our other programs at the undergraduate and master's levels through strong interactions between academia and industry.

K. Recent Graduates Employment
For existing related and supporting graduate programs (master's and doctoral), provide an overview of graduate employment by listing the overall number and percentage of graduates employed within one year of graduation. Also, provide information on the specific jobs held by recent graduates of the programs, such as job titles, fields of employment, and the location and names of their employers.

The Ryan College of Business at UNT has a related program, the PhD in Business, and it graduates 15 to 20 students every year. Virtually all of these students earn a faculty job before or shortly after graduation. Graduates in FY 2020 are employed in the following positions:

Assistant Professor at Bentley University
Assistant Professor and Chair at DeSales University
Assistant Professor at John Carroll University
Assistant Professor at Kennesaw State University
Assistant Professor at Midwestern State University

Assistant Professor at Robert Morris University
Assistant Professor at SUNY Oneonta
Assistant Professor at the University of Wisconsin-Eau Claire
Assistant Professor at the University of Wisconsin-La Crosse
Adjunct Professor at the University of North Texas
Assistant Professor at Utah Valley University
Assistant Professor at Valdosta State University

III. Faculty

A. Faculty Availability

The core faculty members should already be employed by the institution. Core Faculty are full-time tenured and tenure-track faculty who would teach 50 percent or more in the proposed program or other individuals integral to the proposed program and who could direct dissertation research. The proposed program should currently have at least four full-time equivalent (FTE) qualified core faculty members. Faculty to student ratios should be comparable to peer programs. Existing programs should not be significantly weakened if core faculty are to be reassigned to the proposed program. Support Faculty are other full- or part-time faculty who would be affiliated with the proposed program. The addition of the newly proposed program should not negatively affect the existing programs in related areas. The stated specialties of the faculty should align with the proposed course offerings.

Complete Table 8 to provide information about Core Faculty. Add an asterisk (*) before the names of the individuals who would have direct administrative responsibilities for the proposed program. Add a pound symbol (#) before the name of any individuals who have directed doctoral dissertations or master's theses. Modify the table as needed.

Table 8. Core Faculty

Name and Rank of Core Faculty	Highest Degree and Awarding Institution	Courses Assigned in Program	% Time Assigned to Program
#Derrick D'Souza, Professor	PhD – Business Admin, Georgia State University	EDBA 6030 (Business Strategy)	30
#Francisco Guzman, Professor	PhD – Business Admin, Universitat Ramon-ESADE	EDBA 6XXX (Value Creation)	30
#Govind Iyer, Professor	PhD – Accounting, Georgia State University	EDBA 6XXX (Integrative Research)	30
#Mary Jones, Professor	PhD – Business Admin, University of Oklahoma	EDBA 6450 (Research Foundation)	30
#Blair Kidwell, Professor	PhD – Marketing, Virginia Tech.	EDBA 6XXX (Integrative Research)	40
#Virginie Kidwell, Associate Professor	PhD – Management, University of Kentucky	EDBA 6XXX (Integrative Research)	30
#Arunachalam Narayanan, Associate Professor	PhD – Business Admin, Texas A&M University	EDBA 6220 (Applied Regression)	30
*#Audhesh Paswan, Professor	PhD – Business Admin, University of Mississippi	EDBA 6240 (Applied Multivariate) / EDBA 6XXX (Value Creation)	70
#Lou Pelton, Associate Professor	PhD – Business Admin, University of Mississippi	EDBA 6XXX (Applied Qualitative Research)	30
#Brian Sauser, Professor	PhD – Industrial Eng., Stevens Institute of Technology	EDBA 6XXX (Managing Complexity)	30
#Russell Torres, Assistant Professor	PhD – Business Admin, University of North Texas	EDBA 6XXX (Applied Data/Text Mining)	30

#John Turner, Assistant Professor	PhD – Applied Tech and Perform. Improvement, University of North Texas.	EDBA 6XXX (Managing Complexity)	30

Note – the percentages assigned to the faculty members are based on the number of courses taught per year in the program and related student support activities, such as dissertation direction. These percentages derive from the UNT and RCOB workload policies, where research-active tenured and tenure-track faculty teach 3 to 4 courses per year. For more detail, see Appendix VI.C.

Support Faculty are other full- or part-time faculty who would be affiliated with the proposed program. Modify the table as needed. Complete Table 9 to provide information about Support Faculty.

Table 9. Support Faculty

Name and Rank of Support Faculty	Highest Degree and Awarding Institution	Courses Assigned in Program or Other Support Activity	% Time Assigned to Program
Valarie Bell, Clinical Assistant Professor	PhD – Business Admin, Texas Women University	EDBA 6XXX (Applied Qualitative Research)	10
Mahdi Fathi, Assistant Professor	PhD – Industrial Eng., Iran University of Science and Technology	EDBA 6XXX (Integrative Research)	20
Tony Gerth, Clinical Professor	DBA – Business Admin, Cranfield University School of Management, UK	EDBA 6XXX (Integrative Research)	10
Michael Savoie, Clinical Professor	PhD – Business, University of North Texas	EDBA 6XXX (Integrative Research)	20
Thomas Williams, Clinical Assistant Professor	PhD – Finance, Texas Tech University	EDBA 6XXX (Integrative Research)	10

Note – the percentages assigned to the faculty members are based on the number of courses taught per year in the program and related student support activities, such as dissertation direction. These percentages derive from the UNT and RCOB workload policies, where clinical faculty typically teach 6 courses per year. For more detail, see Appendix VI.C.

Table 9a. Concentration Faculty

Name and Rank of Support Faculty	Highest Degree and Awarding Institution	Courses Assigned in Program or Other Support Activity	% Time Assigned to Program
Chang Koh, Professor	PhD-MIS, University of Georgia	BCIS 6660 (Comparative Information Systems Theory)	20
Tony Gerth, Clinical Professor	DBA – Business Admin, Cranfield University School of	BCIS 5700 (Strategic Use of Information Systems)	20

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	Management, UK		
Dan Kim, Professor	PhD-MIS, SUNY-Buffalo	BCIS 5740 (Information Security Management)	20
Anna Sidorova, Associate Professor	PhD-Business Admin., Washington State University.	BCIS 5140 (Artificial Intelligence in Business)	20

B. Teaching Load

Indicate the targeted teaching load for core faculty supporting the proposed program. Teaching load is the total number of semester credit hours in organized teaching courses taught per academic year by core faculty, divided by the number of core faculty at the institution the previous year. Provide an assessment of the impact the proposed program will have, if approved, on faculty workload for existing related programs at the institution.

A two-two load for faculty supporting a doctoral program should be the target. The teaching load may vary according to discipline, but it should be low enough to allow the faculty to continue advanced research, supervise dissertations, and provide advising for the proposed program's students. The teaching load of faculty should be comparable to peer programs and meet the institution's standards.

If the distance program will result in additional students, describe how faculty resources will be provided (hiring additional faculty, reallocating faculty resources from other programs, etc.).

Graduate faculty teaching loads in the G. Brint Ryan College of Business are assigned in accordance with UNT policy 06.207, Academic Workload Policy, and the G. Brint Ryan College of Business Workload Policy. Both documents are included in the appendices.

Research faculty teaching in the doctoral program are typically assigned two courses in each long semester. This would translate to a teaching load of 40% teaching, 40-50% research and 10-20% service. Since at least some research and service activities are typically associated with doctoral student mentoring and supervision, a faculty member teaching one doctoral seminar per year and supervising student research could be defined as 30% for the academic year.

Faculty who supervise doctoral students, even those in executive programs, must maintain an active research portfolio. We do not anticipate increases in teaching loads with the addition of this new degree. We maintain a pool of adjuncts who teach regularly for us that can backfill courses for faculty who take on these doctoral seminars.

C. Core Faculty Productivity

Scholarly activity is determined by calculating the number of discipline-related refereed papers/publications, books/book chapters, juried creative/performance accomplishments, and notices of discoveries filed/patents issued per core faculty member over the last five years. A minimum of two peer-reviewed publications per year is expected for research faculty, although this may vary according to the expectations of

the discipline and the required professional activity of the faculty. Faculty supporting doctoral-level professional practice degrees should be engaged in research, applied or otherwise, that has the potential to improve clinical practice and appear in publications relevant to the field.

Complete Tables 10 and 11 to provide information about faculty productivity, including the number of publications and scholarly activities and grant awards. Table 10 shows the most recent five years of data by Core Faculty, including the number of discipline-related refereed papers/publications, books/book chapters, juried creative/performance accomplishments, and notices of discoveries filed/patents issued.

Where relevant to performing arts degrees, major performances or creative endeavors by Core Faculty should be included. Examples are provided below. Do not include conference papers, reviews, posters, and similar scholarship. The format of the tables and information may vary, as long as the information is conveyed clearly. Include a list of the key journals in the field.

Table 10: Total Faculty Publications and Other Scholarly/Creative Accomplishments for the Past Five Years

Faculty Name	Refereed Papers	Book Chapters	Books	Juried Creative/ Performance	Patents
#Derrick D'Souza	9				
#Francisco Guzman	26				
#Govind Iyer	4				
#Mary Jones	6				
#Blair Kidwell	7				
#Virginie Kidwell	5				
#Arunachalam Narayanan	9				
*Audhesh Paswan	31	4			
#Lou Pelton	10				
#Brian Sauser	10				
#Russell Torres	12	1			
#John Turner	16		1		

Publications for Ryan College of Business faculty are targeted toward those journals rated as A*, A and B on the Australian Business Deans' Council list, https://abdc.edu.au/research/abdc-journal-list/. Faculty are also encouraged to target journals listed on the Financial Times Top 50 list, https://www.ft.com/content/3405a512-5cbb-11e1-8f1f-00144feabdc0 and those on the UT-Dallas List, https://jindal.utdallas.edu/the-utd-top-100-business-school-research-rankings/list-of-journals. These lists are overlapping, and are chosen because they represent a consensus opinion of outstanding scholarship in business.

Table 11 shows the number and amount of external grants by Core Faculty. If applicable to the field, faculty should be securing external research funds. For each core faculty member, provide the total amount of external funding generated within the past five years (consistent with the methodology used for calculating scholarly activity). Grants earned at institutions or organizations other than the applying institution should not be counted unless the grant money carries over with the faculty member to the applying

institution.

Table 11. External Grant Awards for the Past Five Years

Faculty Name	Grant Source	Grant Subject	Dates	Total Grant Amount	Institutional Amount
#Arunachalam Narayanan	Toyota	Understanding if the Forklift Operators are Following Best Practices	2019-present	$267,350.00	
# Brian Sauser	Toyota	Understanding if the Forklift Operators are Following Best Practices	2019-present	$267,350.00	

D. Faculty Professional Development and Curriculum Support
Describe the training in delivering instruction via distance education faculty members currently have or will be given. Describe any support that will be available for the start-up development of the courseware.

RCOB delivers all its courses via some combination of online and in-class instruction. The faculty have a teaching load of 2-2, to allow them sufficient time for professional development. In particular, junior faculty in tenure-track positions receive considerable support from the department, the college, and the university. Each of the junior faculty is advised by a mentor, who typically has a successful academic career. We ensure that members of the tenure-track faculty have every opportunity to succeed as educators, scholars, and researchers. The college and the department support faculty travel to conferences and workshops to present their research. Faculty have access to a TA if their courses have a laboratory component associated with the course. The departments also provide support through graders for faculty according to necessity.

Since all courses were moved online in March 2020 in response to the covid-19 pandemic, all faculty gained online teaching experience. For those who did not have well-developed online teaching skills UNT provided extensive training and support. However, all faculty have been provided with a Canvas shell as a course augmentation for the last several years and are well versed in this aspect of online course support. The CLEAR center reviews all online classes initially and on a 3-year cycle thereafter for accessibility and best practices, and assists faculty in developing additional skills.

All core courses in the DBA will be primarily face-to-face and will use online modalities to distribute materials and augment resources. Students may choose elective classes fully online, and those will have been through review by CLEAR and delivered by faculty trained in online teaching.

IV. Resources

A. Student Financial Assistance

To be competitive, it is critical that institutions offer comprehensive financial assistance packages to recruit and retain high-quality doctoral students. Providing financial assistance for doctoral students engaged in coursework and dissertation writing is recommended.

Identify the number of full- and part-time students who would be funded and the anticipated amounts for each of the first five years. Provide a plan to provide financial support for at least 50 percent of the full-time students enrolled in the proposed program. Provide a description that demonstrates that the level of financial support will be comparable to or competitive with existing doctoral programs in the discipline. Provide examples of assistance for other similar programs. Budget information should address the amount of assistantships per student, tuition and fee arrangements, and benefits, if any.

Modify the table as needed to distinguish between Teaching Assistantships, Research Assistantships, and Scholarships/Grants. If student financial assistance is reliant upon grant funding, explain how funding will be consistently sustained if grant income falls short of projections. Additionally, show how the level of student support compares to the anticipated overall student cost of tuition and fees.

Some professional programs do not typically support doctoral students. In addition, some programs have high numbers of part-time students who work full-time (e.g., Education and Public Affairs), and financial support for such students is not expected.

Executive programs typically do not offer financial assistance or assistantships. Since the program is intended to serve working business professionals, assistantships would not fit with that model. Peer programs that we have studied serve full-pay students. The exception to this model would be a selected number of scholarships offered to recruit students employed in the community college system.

Table 12. Student Financial Assistance

		Year 1	Year 2	Year 3	Year 4	Year 5
Teaching Assistantships	# of Full-time students	0	0	0	0	0
	Amount per student	0	0	0	0	0
	# of Part-time students	0	0	0	0	0
	Amount per student	0	0	0	0	0
Research Assistantships	# of Full-time students	0	0	0	0	0
	Amount per student	0	0	0	0	0
	# of Part-time students	0	0	0	0	0
	Amount per student	0	0	0	0	0
Scholarships	# of Full-time students	1	2	2	3	3
	Amount per student	$15,000	$15,000	$15,000	$15,000	$15,000
	# of Part-time students	0	0	0	0	0
	Amount per student	0	0	0	0	0

B. Library Resources

A printout of the library's relevant holdings or a list of the planned acquisitions is not necessary. A letter or other statement from the librarian describing the adequacy of existing resources is required (include as Item E in Required Appendices). Provide the library director's assessment of both paper and electronic library resources necessary for the proposed program. Describe plans to build the library holdings to support the proposed program. Include the amount allocated to the proposed program.

Describe how students will access library resources, including print, electronic, and in person. Describe how communication with the library and interaction with the library staff and librarians occur. Describe how resources are made available in a format that is accessible to remote students.

Library resources and services for the UNT degree programs in general and RCOB in particular serve students through strong local collections, consortium membership access, Interlibrary Loan services, and an extensive combination of locally provided equipment and services. A significant portion of the library's collection is available electronically. The library also provides digital reserves on request.

The UNT Libraries make accessible over 162,000 electronic journals and 262 databases, over 4.6 million print and electronic books, over 230,000 audiovisual materials, and over 430,000 items in the UNT Digital Collections (http://digital.library.unt.edu/). The primary collections and reference services for the Ryan College of Business are housed in the Willis Library facility (http://www.library.unt.edu), with additional assistance provided by the Eagle Commons Library (http://www.library.unt.edu/eagle-commons), and the Media Library (http://www.library.unt.edu/media-library)

Collection Development Policies can be found on the Library's Web site at http://www.library.unt.edu/policies/type/collection-development. Members of the faculty have both the right and the responsibility to recommend materials for purchase to support research and teaching. Liaison librarians ensure that faculty requests for new acquisitions are considered as soon as possible and work with the faculty to identify library materials needs for proposed courses and programs.

Business doctoral students also require access to business data bases The Ryan College of Business maintains a comprehensive set of business data research resources, including the Wharton Research Data Services platform, the Center for Research in Security Prices, Standard and Poors Data, and Bloomberg. All of these are accessible on campus or remotely through virtual desktop software.

The Ryan College of Business has a designated library representative who regularly meets with faculty and students in the college to assess needs and provide resources and tutorials.

C. Facilities and Equipment
Describe the availability and adequacy of facilities and equipment to support the proposed program. Describe plans for new facilities and equipment, improvements, additions, and renovations.

Provide the amount of anticipated expenditures related to facilities and equipment, and include those amounts in the budget under "Costs and Revenues." Also, describe the status of all building project(s) related to the program and include the schedule for completion. For shared equipment and facilities, describe availability for the proposed program.

The G. Brint Ryan College of Business occupies the 180,000 square foot Business Leadership Building on the Denton campus. The building, completed in 2011, houses approximately 120 faculty members, 55 staff and 80 PhD students. With 24 classrooms, several labs, and an expansive atrium, the building is a home for nearly 7200 students, making us one of the largest colleges of business in the nation.

UNT opened a campus in Frisco in 2016 to serve the rapidly growing corporate hub in Collin County. In May 2018, UNT and the City of Frisco announced a partnership that will create a branch campus to serve a growing number of students long into the future. Since that announcement UNT students, faculty and staff, and Frisco area partners worked with design consultants Ayers Saint Gross on a plan for the branch campus that is expected to open with 27 undergraduate and master's level programs. The city deeded 100 acres to UNT for the new campus, and a new building will open in time to house the executive DBA in state-of-the-art classrooms.

We plan to offer the DBA in Frisco, because of its proximity to the corporate partners likely to support the program. The new building will offer ample space for students, along with faculty offices. No additional facilities will be required for the new degree.

D. Support Staff
Describe plans, if any, to increase or reallocate support staff in order to provide sufficient services for the projected increases in students and faculty. Provide confirmation that existing programs will not be significantly weakened if staff are to be reassigned to the proposed program.

Currently, RCOB is adequately staffed for the program. The Graduate Programs Office is prepared to recruit for and support the new program with existing resources. There is no intent to draw staff from other areas in the college.

E. External Learning
If the proposed program requires an Internship, Clerkship, Clinical Experience, or other external learning opportunity explain how and where this requirement would be met. Describe plans for developing and maintaining this aspect of the proposed program, and provide confirmation that the additional requirements would not negatively affect other

programs at the institution. If specific plans for external learning are already developed, list the name of the facility, the city and county of location, a brief description of the facility and its services, and an estimated number of student placements. Explain the impact this new program would have, if approved, on the available number of external learning opportunities in Texas for this type of program.

Not Applicable

F. List of Potential Expert External Reviewers

Develop a list of suitable expert external reviewers for the proposed program who could provide a desk review and/or serve on a site visit team. Expert External Reviewers should have recognized expertise in the discipline and hold the rank of full professor or senior administrator at institutions with top-ranked programs. Potential expert external reviewers should not have close ties to the institution that could generate a conflict of interest. Potential expert external reviewers should be from institutions outside the state of Texas. Institutions are responsible for reimbursing the Coordinating Board for the travel expenses incurred by and fees paid to expert external reviewers used for desk reviews and site visits that are part of the doctoral review process.

Provide the names and contact information for six potential expert external reviewers to review the proposed program. Describe concisely the qualifications of each expert external reviewer.

Table 13. Institution's Proposed Expert External Reviewers

Reviewer #1	
Name	Lars Mathiassen, PhD
Title and Rank	Professor and Academic Director-DBA program
Institution	Georgia State University
Phone #	404-413-7855
Email	lmathiassen@ceprin.org
Qualifications/Expertise	Founder GSU DBA program, Eminent IS scholar
Reviewer #2	
Name	Hugo Marynissen, PhD
Title and Rank	Faculty member
Institution	Antwerp Management School
Phone #	+32 473 894 260
Email	hugo.marynissen@ams.ac.be
Qualifications/Expertise	Founder and Director of DBA program at Antwerp
Reviewer #3	
Name	Emma Parry, PhD
Title and Rank	Professor and Academic Director-DBA program
Institution	Cranfield School of Management
Phone #	+44 (0) 1234 754808
Email	emma.parry@cranfield.ac.uk
Qualifications/Expertise	Academic director of DBA program
Reviewer #4	
Name	George Marakas, PhD
Title and Rank	Professor and Director-DBA program
Institution	Florida International University
Phone #	(305) 348-2830
Email	gmarakas@fiu.edu
Qualifications/Expertise	Highly published IS research faculty
Reviewer #5	
Name	John Mooney, PhD
Title and Rank	Professor and Academic Director – DBA program
Institution	Pepperdine University
Phone #	949.223.2538
Email	john.mooney@pepperdine.edu
Qualifications/Expertise	Highly published IS researcher and professor
Reviewer #6	
Name	Joe Peppard, PhD
Title and Rank	Former Senior Research Scientist
Institution	MIT Center for Information Research
Phone #	+353 87 233 7526
Email	profjoepeppard@gmail.com
Qualifications/Expertise	Well known researcher, DBA faculty at Cranfield University and European School of Management and Technology

G. Five-Year Costs and Funding Sources Summary

Adding a new doctoral degree program will cost the institution some amount of money. Calculating the costs and identifying the funding sources associated with implementation of a new doctoral program requires several institutional offices to collaborate to present an accurate estimate.

Provide an overview of new and reallocated costs for the proposed program using the form Costs to the Institution of the Proposed Doctoral Program. Faculty salaries include all faculty assigned to the proposed program. If an existing faculty member is reassigned to the program, the salary is reflected as a reallocated cost. New faculty salaries need to be competitive for the discipline, and figures include start-up costs in proportion to the new faculty member's allotted time in the proposed program. Faculty salaries do not include benefits or pensions. If the proposed program will hire new faculty, it is a new cost. Program administration includes all institutional costs associated with running the program, including amounts associated with the Dean's office, Institutional Research, and other administrative costs. Graduate Assistant costs are identified either as new or reallocated, as appropriate. Clerical/Staff include specific costs associated with the new program. This includes the additional staff needed to organize applications, prepare for the proposed program, and for general administration of the proposed program. If the enrollments in the proposed program are projected to be large, the associated costs related to clerical/staff may also be more. New staff or purchases of new equipment should be adequate to support the stated goals and enrollments for the proposed program. Other program costs identified in the proposal should be realistic.

Total funding for the proposed program should meet or exceed total costs by the end of the first five years. On the forms provided, include a description of sources for existing and anticipated external funding. Include explanatory footnotes as needed.

Because enrollments are uncertain and programs need institutional support during their start-up phase, institutions should demonstrate that they could provide:
- sufficient funds to support all the costs of the proposed program for the first two years (when no new formula funding will be generated); and
- half of the costs of the proposed program during years three through five from sources other than state funding.

Funding sources may include formula income, other state funding, tuition and fees, reallocation of existing resources, federal funding, and other funding (such as awarded grants). The total projected income of state funding, tuition and fees, and private funds will allow the proposed program to become self-sufficient within five years.

Consult with your institution's Institutional Research department when calculating the formula funding.

When estimating program funding for new programs, institutions take into account that students switching programs do not generate additional formulas funds for the institution. For example, if a new doctoral program has ten students, but six of them

switched into the program from existing master's programs at the institution, only four of the doctoral students would generate additional formula funding.

The Other State Funding category could include special item funding appropriated by the Legislature, or other sources of funding from the state that do not include formula-generated funds (*e.g.*, HEAF, PUF).

Reallocation of Existing Resources includes the salary of faculty reassigned who may be partially or wholly reallocated to the new program. Explain how the current teaching obligations of those faculty are reallocated and include any faculty replacement costs as program costs in the budget. If substantial funds are reallocated, explain how existing undergraduate and graduate programs will be affected.

Federal Funding (In-hand only) refers to federal monies from grants or other sources currently in hand. Do not include federal funding sought but not secured. If anticipated federal funding is obtained, at that time it can be substituted for funds designated in other funding categories. Make note within the text of the proposal of any anticipated federal funding.

Tuition and Fees includes revenue generated by the institution from student tuition and fees.

Other Funding category may include auxiliary enterprises, special endowment income, or other extramural funding.

Costs to the Institution of the Proposed Program

Complete the table to show the costs to the institution that are anticipated from the proposed program.

Cost Category	Cost Sub-Category	1st Year	2nd Year	3rd Year	4th Year	5th Year	TOTALS
Faculty Salaries[1]	New	0	0	0	0	0	0
	Reallocated	51,000	102,000	110,500	110,500	110,500	484,500
Program Administration	New						
	Reallocated	75,000	75,000	77,250	79,567	81,955	388,772
Graduate Assistants	New						
	Reallocated	12,000	12,000	12,000	12,000	12,000	60,000
Clerical/Staff	New						
	Reallocated						
Student Support (Scholarships)		15,000	45,000	75,000	105,000	120,000	360,000
Supplies and Materials		21,750	48,205	55,061	64,485	78,508	268,009
Library & Instructional Technology Resources[2]		0	0	0	0	0	0
Equipment[2]		0	0	0	0	0	0
Facilities		0	0	0	0	0	0
Other (Identify) Marketing and recruitment		25,000	40,000	50,000	50,000	50,000	215,000
TOTALS		199,750	322,205	379,811	421,552	452,963	1,776,281

[1] Report costs for new faculty hires, graduate assistants, and technical support personnel. For new faculty, prorate individual salaries as a percentage of the time assigned to the program. If existing faculty will contribute to program, include costs necessary to maintain existing programs (e.g., cost of adjunct to cover courses previously taught by faculty who would teach in new program).

[2] Equipment has the meaning established in the Texas Administrative Code §252.7(3) as items and components whose cost are over $5,000 and have a useful life of at least one year.

Anticipated Sources of Funding

Complete the table to show the amounts anticipated from various sources to cover new costs to the institution as a result of the proposed program. Use the Non-Formula Sources of Funding form to specify each non-general revenue source.

Funding Category	1st Year	2nd Year	3rd Year	4th Year	5th Year	TOTALS
I. Formula Funding[1]			572,369	620,067	739,310	1,931,746
II. Other State Funding						
III. Reallocation of Existing Resources	140,995	204,695	199,750	202,067	204,455	951,962
IV. Federal Funding (In-hand only)						
V. Tuition and Fees	58,755	117,510	176,265	190,954	227,676	771,161
VI. Other Funding[2]						
TOTALS	199,750	322,205	948,384	1,013,088	1,171,441	3,654,869

[1] Indicate formula funding for students new to the institution because of the program; formula funding should be included only for years three through five of the program and should reflect enrollment projections for years three through five.

[2] Report other sources of funding here. In-hand grants, "likely" future grants, and special item funding can be included.

Non-Formula Sources of Funding

Complete the table to specify each of the non-formula funding sources for the amounts listed on the Anticipated Sources of Funding form.

Funding Category	Non-Formula Funding Sources
II. Other State Funding	#1
	#2
III. Reallocation of Existing Resources	#1 The administration and graduate assistant costs are a change in responsibilities, moving someone from a mature program to this new program. RCOB part-time faculty budget will be used to hire adjuncts when needed.
	#2
IV. Federal Funding (In-hand only)	#1
	#2
V. Tuition and Fees	#1 Amount includes tuition and RCOB per graduate credit hour fee
	#2
VI. Other Funding	#1
	#2

H. Signature Page

The appropriate signature page must selected and signed by the required institutional official and board of regents.

H. Institutional and Board of Regents
Signature Page for Board Consideration

1. **Adequacy of Funding** – The Chief Executive Officer shall sign the following statement:

   I certify that the institution has adequate funds to cover the costs of the new program. Furthermore, the new program will not reduce the effectiveness or quality of existing programs at the institution.

Chief Executive Officer	Date

2. **Accuracy of Financial Estimates** – The Chief Financial Officer shall sign the following statement:

   I certify that the estimated costs and sources of funding presented in the proposal are complete and accurate.

Chief Financial Officer	Date

3. **Reimbursement of Expert External Reviewer Costs** – The Chief Executive Officer shall sign the following statement:

   I understand that the doctoral proposal process includes the use of expert external reviewers. In the event that one or more expert external reviewer are contracted to review a doctoral proposal put forward by my institution, I understand that my institution will be required to reimburse the Texas Higher Education Coordinating Board for costs associated with the use of such expert external reviewers. By signing, I agree on behalf of my institution to provide reimbursement for expert external reviewer costs.

Provost/Chief Executive Officer	Date

4. **Board of Regents Certification of Criteria for Board Consideration** – The Board of Regents or designee must certify that the new program has been approved by the Board of Regents and meets the criteria under Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.46.

   On behalf of the Board of Regents, I certify that the new program meets the criteria specified under Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.46 and has been approved by the Board of Regents.

Board of Regents (Designee)	Date

H. Board of Regents
Signature Page for Commissioner Consideration

5. **Board of Regents Certification of Criteria for Commissioner or Assistant Commissioner Consideration** – Typically proposals for doctoral programs are approved by the Board, supported with a recommendation for approval by the Commissioner. Under very limited circumstances, a program may be approved by the Commissioner. <u>In this case only</u>, the Board of Regents or designee must certify that the new program meets the criteria under Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.50 (b) and (c).

TAC §5.50(b) The program:

(1) has a curriculum, faculty, resources, support services, and other components of a degree program that are comparable to those of high quality programs in the same or similar disciplines at other institutions;
(2) has sufficient clinical or in-service sites, if applicable, to support the program;
(3) is consistent with the standards of the Commission of Colleges of the Southern Association of Colleges and Schools Commission on Colleges and, if applicable, with the standards or discipline-specific accrediting agencies and licensing agencies;
(4) attracts students on a long-term basis and produce graduates who would have opportunities for employment; or the program is appropriate for the development of a well-rounded array of basic baccalaureate degree programs at the institution;
(5) does not unnecessarily duplicate existing programs at other institutions;
(6) does not be dependent on future Special Item funding;
(7) has new five-year costs that would not exceed $2 million.

TAC §5.50(c) The program:

(1-2) is in a closely related discipline to an already existing doctoral program(s) which is productive and of high quality;
(3) has core faculty that are already active and productive in an existing doctoral program;
(4) has a strong link with workforce needs or the economic development of the state; and
(5) the institution has notified Texas public institutions that offer the proposed program or a related program and resolved any objections.

On behalf of the Board of Regents, I certify that the new program meets the criteria specified under Texas Administrative Code (TAC), Title 19, Chapter 5, Subchapter C, Section 5.50 (b) and (c) and has been approved by the Board of Regents.

Board of Regents (Designee)	Date

V. Additional Distance Education Delivery Consideration

A. Adherence to *Principles of Good Practice*
Submit the Certification Form or provide a statement from the Chief Academic Officer certifying adherence to *Principles of Good Practice* as well as adherence to Coordinating Board distance education rules and policies.

The certification form is included in appendices.

B. Administrative Oversight and Structure
Identify the person/office directly responsible for the overall management of the proposed program. Identify other responsibilities of the person/office with primary responsibility and any modifications in responsibility made to accommodate the program. Describe the ways in which the delivery method will affect the proposed program.

Dr. Audhesh Paswan will be responsible for the overall management of the proposed DBA program, including faculty resources. Further, he would be working with the RCOB Graduate Program Office and a DBA-Academic Program Committee (made up of faculty volunteers) to manage recruitment, admissions, academic planning, academic advising, administrative issues, and student success. Dr. Paswan is Associate Dean for Academic Affairs within the G. Brint Ryan College of Business with primary responsibility for oversight of graduate programs. As a part of his responsibilities, he designed and launched a cohort MBA program that was successfully rolled out and has now matured to the point that those responsibilities can be assumed by others. Launching this new program, which he has designed, would be a primary responsibility for him, and would fall within his scope of responsibility. No other modifications would be necessary.

For **online** programs:
1. How will exam proctoring and monitoring be managed and evaluated?
2. How will user authentication be validated?
3. How will the proposed program assure compliance with accessibility standards and regulations (institutional, state, and federal) for instructional delivery, course materials, and other components of the proposed program?

N/A. The required courses for this program are delivered 55% or more face-to-face.

C. Collaborative Arrangements
Describe all collaborative arrangements with other institutions that will be participating in the delivery of the proposed program. Be certain to identify the:
1. Responsibilities of each institution.
2. Process for the credentialing of faculty at each participant site.
3. Institution awarding credit.

N/A. No external institution will be involved in the proposed DBA program

D. Program Differences

> If the proposed program will be delivered both on-campus face-to-face at the main campus and at a distance, describe all differences between on-campus and distance delivery, including:
> 1. Student admission and advisement.
> 2. Qualifying and other exams.
> 3. Independent study.
> 4. Courses and sequencing.
> 5. Library access.
> 6. Discuss the accommodations available for students with special needs to assure accessibility to the course materials, activities, and support services related to the proposed program.

The proposed DBA program is a web-assisted face-to-face program, which will meet face to face, four times a semester, over four weekends to address the experiential learning component of the program; with some content (explicit) knowledge delivered online using Canvas. The Frisco campus is considered a distance location, but is a fully integrated part of the university. UNT already delivers programs and classes at the UNT Frisco campus. Students at UNT's Frisco campus have access to everything that UNT main campus students have. The only difference between UNT main campus and Frisco campus in terms of student access to resources and facilities is that some services are accessed online rather than face-to-face. In addition, the Frisco location is building new instructional facilities on its 100-acre site that will include thoughtfully designed classrooms, seminar rooms and study areas that will fully accommodate the DBA program. Student support and advising services along with accessibility accommodations are available on the campus. In addition, Frisco is located approximately 30 minutes from the Denton campus, and students will have full availability to Denton facilities as well.

E. Student Interactions
- Describe the orientation process. Beyond the courses, how are students oriented to the services of the institution – library, student support, etc.
- Describe how electronic and on-campus students would interact. How will interactions occur between distance education students?
- Describe how instructor and students will interact throughout the program. Include interactions both in and out of the classroom setting. How is the sense of community developed? As a doctoral program, detail how you can create a residency equivalent experience.
- Describe residency requirements.
- Describe the advisement process throughout the proposed program.
- Describe how you plan to address dissertation requirements, oversight, and mentoring during the dissertation process.

As with all RCOB programs, the students in the DBA will go through a new student orientation session where they will be made aware of UNT services to help them succeed, such as library, student accounting, and student support. They will be assigned a faculty mentor who will work with them through their program until the point at which they form a dissertation committee. They will also be supported by the doctoral student program coordinator, who provides them with the program handbook, coordinates meetings and presentations, and maintains their program records.

In the proposed DBA program, the face-to-face classes will be the center of student-teacher interactions. They will be held on four weekends every semester to accommodate the working life of our target market – working managers and executives. These weekend sessions will be used to address the experiential learning part of the program. Some of the content knowledge (expected to be less than 40% of the equivalent semester meeting times) will be delivered online using Canvas. The weekend meetings will also fulfill the residency requirements. These will also help the students interact with one another and with faculty in a face-to-face setting, which we believe is essential for developing new knowledge, an essential part of any doctoral program. In addition, Canvas, emails, and other remote technologies such as Zoom and Teams will also be available to the students for interaction with one another and with faculty and administrators.

The DBA program administrators and staff will offer non-academic advisement to students throughout the course of the 3-year program. During the first 2 years of coursework, the course professors will be the primary resource for their students for coursework-related issues. As in our PhD program, every student will be paired with a faculty mentor who will meet the student regularly to ensure student success.

Toward the end of the second year of the program, as a student finishes his/her coursework, they will form a three-member dissertation committee (as our PhD students do). However, in the case of DBA students, the focus of their research and dissertation would be practitioner-anchored business research and knowledge development.

VI. Required Appendices

A. Course Descriptions and Prescribed Sequence of Courses

B. Five-Year Faculty Recruitment Plan/Hiring Schedule

C. Institution's Policy on Faculty Teaching Load
If teaching load policy is set at the departmental level, include that information.

D. Itemized List of Capital Equipment Purchases During the Past Five Years[1]
Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost, which equals or exceeds the lesser of the capitalization level established by the governmental unit for financial statement purposes, or $5,000.

   N/A

E. Librarian's Statement of Adequate Resources

F. Articulation Agreements with Partner Institutions
Include copies of any agreements or Memoranda of Understanding related to the proposed program. These include formal and sustained arrangements with other universities, private businesses, or governmental agencies that contribute directly to the proposed program and student research/residency opportunities.

G. Curricula Vitae for Core Faculty

H. Curricula Vitae for Support Faculty

I. List of Specific Clinical or In-Service Sites to Support the Proposed Program

J. Letters of Support from Peer Institutions and/or Area Employers
Letters from regional and national companies who have made commitments to hire doctoral graduates from the proposed new program are particularly helpful. Also, include statements of support or commitments to shared research projects from other institutions in the state with similar doctoral programs.

K. Certification Form

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[1] "Equipment" has the meaning established in the Texas Administrative Code §252.7(3) as items and components whose cost are over $5,000 and have a useful life of at least one year.