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AGENDA

2018 SACSCOC Reaffirmation Leadership Team Meeting
April 7, 2016
Lone Star Conference Room, AD 3.104

1. Call to Order / Approval of Minutes Serenity King

2. Announcements Serenity King
 - A. Steering Committee Meeting Outcome
 1. Steering Committee to meet again on April 25 to report on their first meetings with their working committees
 - B. Updated Reaffirmation Committees
 - C. EPPS Program Head Questions
 1. Share survey data for job placement
 - A. Institutional Effectiveness Committee
 2. UT Dallas email address for alumni
 - A. Financial and Physical Resources and Information
Technology Committee

3. State Auditor's Office Regarding Statewide Single Audit Kimberly Laird

4. *Principles* CR 2.5, CS 3.3.1 and its subsets Serenity King
 - A. Strategic Plan / Mission

5. QEP Updates Jessica Murphy

6. Adjournment Serenity King

ITEM 1

March 22, 2016 Meeting Minutes

2018 SACSCOC Leadership Team

Meeting Minutes

Tuesday, March 22, 2016 11:30AM
Lonestar Conference Room, AD 3.104

I. Attendees:

B. Hobson Wildenthal, Serenity King (Chair), Kim Laird, Clint Peinhardt, Marilyn Kaplan, Josh Hammers, Mary Jo Venetis, Nicole Leeper Piquero, Jessica Murphy, Joanna Gentsch, Vy Trang, Simon Kane, Ryan Dorman, Caroline Ries

Absent: Inga Musselman

II. Approval of Feb. 17, 2016 meeting minutes

Marilyn Kaplan motioned to approve, Mary Jo Venetis seconded the motion. All in favor – minutes approved.

III. Announcements

Dr. Belle Wheelan Visit Updates

Dr. Wheelan had positive things to say about UT Dallas during her visit. Later in the week, she met with the UT System Chancellor and the Commissioner of the Texas Higher Education Coordinating Board. Institutions such as UT Dallas should consider using SACSCOC and Dr. Wheelan as an ally during the legislative sessions.

Lunch and Learn Workshops

All the workshops for the academic units have been completed. Overall, there were 61 attendees. These workshops have been focused on faculty-related issues. The overall response has been positive.

ACTION ITEM: There have been requests to offer the lunch and learn workshops on a semesterly basis. The lunch and learn workshops will be offered each semester, alternating between academic and non-academic principles. Another option is to offer workshops for both types of principles in the same semester.

Program Head Meetings

The meetings with school deans, associate deans and program/department heads have begun. Dr. Wildenthal and Dr. Musselman are also attending these meetings. Serenity has distributed handouts containing the 30 principles about which program heads should be aware. These are the principles that they will potentially be asked about while the working committees gather information to respond to the principles for the CCR. All the meetings will be completed by the end of the Spring 2016 semester. ECS,

EPPS, JSOM, and NS&M have separate meetings. A&H, ATEC, BBS and IS will meet in a combined meeting.

Public Comment on SACSCOC Principles

The deadline for the public comment period on the SACSCOC Principles is March 28, 2016. This is a good opportunity to weigh in on the principles.

Summer Institute

The registration for the Summer Institute has not begun. The Summer Institute is popular with faculty so the registration slots fill up quickly.

ACTION ITEM: If members of the Leadership Team or faculty in their respective schools are interested in attending the Summer Institute, send Serenity an email by the end of the week.

Proposals for Upcoming Annual Meeting

Three, possibly four, proposals have been submitted. Serenity submitted a proposal on what UT Dallas has learned during the Fall 2015 SACSCOC Report situation. Dr. Karen Huxtable submitted a proposal on some of the teaching innovations she is doing in the classroom. Dr. Gloria Shenoy and Jessica Murphy submitted a joint proposal on the faculty advisor role in focus groups, i.e. the effects of the collaboration between the Office of Assessment and faculty. Dr. Belle Wheelan had requested that we submit a proposal on the Student Success Center but it is unclear if the proposal was submitted before the deadline.

Question: How are the proposals selected by SACSCOC?

Answer: There is a rubric that is used by SACSCOC. The proposals are grouped into the different tracks and are selected based on the rubric and how applicable the topic is to the general audience and what the value to the participants would be. Results will be announced by May 2, 2016.

Steering Committee Meeting

The first Steering Committee meeting will be on March 25, 2016. The chairs and co-chairs will be given information on what is expected. All the committees will be expected to have at least one meeting before the end of the Spring 2016 semester. The committees should meet as regularly as possible after the first meeting.

Staff Audit Meeting

Serenity will not be able to present about the Reaffirmation Project at the Staff Audit meeting in April, May or June. Kim Laird was asked if she would be available to present in Serenity's place.

ACTION ITEM: Kim Laird will let Serenity and Vy Trang know if she will be able to attend one of the Staff Audit meetings to present about the Reaffirmation Project.

IV. Technical Assistance for Reaffirmation Working Committees

Simon Kane presented how the 2007 CCR was published and the recommended method for the publication of the 2018 CCR. He also gave a brief background on the Provost Technology Group (PTG). Slack, a business-level messaging system, will be made available to the committees.

ACTION ITEM: Should the committees use cloud-based document editing software such as Microsoft Office 365?

The narrative in the 2007 CCR did not contain charts and tables. Those were added as supporting documents. This will continue in the 2018 CCR.

V. QEP Updates

The open submission period will end at 5pm on April 5, 2016. The topic selection committee will meet and review the topics and institutional data. The top 3-5 ideas will be selected and proposals will be solicited. A form with guided questions related to the principles will assist with the generation of the proposals. We have received 183-186 submissions.

VI. Meeting Adjourned

ITEM 2B

Updated Reaffirmation Committees

2018 Reaffirmation Membership Summary

Appointment letters were sent out the last week of February 2016. As of April 4, 2016, 110 nominated members accepted the call to serve on the Reaffirmation Committees, a 96% acceptance rate. The acceptance rate includes the 14 Leadership Team members. The overall response rate for all appointment letters was 100%.

Four nominated members declined:

- David F. Channel, Faculty Committee
- Randall Lehmann, Faculty Committee
- Erin A. Smith, Faculty Committee
- Dennis L. Miller, Programs, Curriculum Instruction Committee

Replacements were made for the following committees.

- R. David Crain appointed designees to serve in his place.
 - Scott Willett will serve on the Financial and Physical Resources and Information Technology Committee.
 - Frank Feagans will serve on the Learning and Student Resources Committee.

NOTE: The chairs can appoint additional members as needed to their committees.

2018 Reaffirmation Committee Lists

Mission, Governance, and Administration Committee

Dr. David Cordell, Chair
Serenity Rose King, Co-Chair
Dr. Richard K. Scotch
Dr. Kurt J. Beron
Colleen Dutton
Dr. Abby R. Kratz
Terry Pankratz
Timothy Shaw
Sue Sherbet

Dr. Mary Jo Venetis

Vy Trang: Administrative Support

Financial and Physical Resources and Information Technology Committee

Dr. Kimberly Laird, Chair

M. Beth Tolan, Co-Chair

Dr. Denise Paquette Boots

Dr. Joseph M. Izen

Dr. Ravi Prakash

Mariah Armitage

Paula Austell

Dr. Darren Crone

Naomi Emmett

Kelly Kinnard

Terry Pankratz

Toni Stephens

Chad Thomas

Scott Willett

Larry Zacharias

Faculty Committee

Dr. Murray J. Leaf, Chair

Dr. Nicole Leeper Piquero, Co-Chair

Dr. Timothy Redman

Dr. R. Chandrasekaran

Dr. Christine Dollaghan

Todd Fechter

Dr. Lev Gelb

Dr. Karen Huxtable

Dr. Varghese Jacob

Dr. Candice Mills

Dr. Meghna Sabharwal

Dr. John W. Sibert, IV

Learning and Student Resources Committee

Josh Hammers, Chair

Debbie Montgomery, Co-Chair

Dr. Paul F. Diehl

Dr. Vladimir Dragovic

Dr. Richard Golden
Dr. James Cannici
Cristen Casey
Dr. Darren Crone
Don Davis
Frank Feagans
Kimshi Hickman
John Jackson
Elizabeth Samuel
Dr. Amanda Smith
Dr. Mary Jo Venetis
Grant Branam
Luis Garcia Fuentes

Programs, Curriculum Instruction Committee

Dr. Poras Balsara, Chair
Dr. Marilyn Kaplan, Co-Chair
Dr. Andrew Blanchard
Dr. Frank Dufour
Dr. Euel W. Elliott
Dr. George W. Fair
Dr. Eric Farrar
Dr. Joanna K. Gentsch
Dr. Juan E. Gonzalez
Dr. John Gooch
Dr. Varghese Jacob
Dr. Shelley D. Lane
Dr. Simeon Ntafos
Dr. Clint W. Peinhardt
Dr. Alex R. Piquero
Dr. Elizabeth Rugg
Dr. Melanie Spence
Dr. Robert Stillman
Dr. Marion K. Underwood
Dr. Tonja Wissinger
Courtney Brecheen
Dr. Darren Crone
Kimshi Hickman
John Jackson
Serenity Rose King
Jennifer McDowell

Elizabeth Samuel
Wray Weldon
Brett Cease
Brian Moore

Institutional Effectiveness Committee

Serenity Rose King, Chair
Dr. Lawrence J. Redlinger, Co-Chair
Dr. Kutsal Dogan
Dr. Monica Evans
Dr. George W. Fair
Michele Hanlon
Dr. Jennifer S. Holmes
Dr. Marilyn Kaplan
Dr. Kamran Kiasaleh
Dr. Theodore Price
Jerry Alexander
Pete Bond
Dr. Michael Carriaga
Lauren DeCillis
Dr. Kyle Edgington
Cheryl Friesenhahn
Josh Hammers
Dr. Kimberly Laird until Chief Budget Officer hired
Dr. Catherine Parsoneault
Rafael Martin
Dr. Gloria Shenoy
Toni Stephens
Dr. Mary Jo Venetis
Kim Winkler
Sayeeda Jamilah
Vy Trang: Administrative Support

Quality Enhancement Plan (QEP) Topic Selection Committee

Dr. Jessica C. Murphy, Director
Lisa Bell
Dr. Euel W. Elliott
Dr. Rebecca Files
Dr. Walter E. Voit
Dr. Gene Fitch

John Johnson
Dr. Kimberly Laird until Chief Budget Officer hired
Melinda Mendoza-Ellis
Katherine Morales
Ryan Dorman
Rajadhar Reddy

Steering Committee

Serenity Rose King, Chair
Dr. Murray J. Leaf, Co-Chair
Dr. Poras Balsara (Chair, Programs, Curriculum Instruction Committee)
Dr. David Cordell (Chair, Mission, Governance and Administration Committee)
Dr. Vladimir Dragovic
Dr. Marilyn Kaplan (Co-Chair, Programs, Curriculum Instruction Committee)
Dr. Jessica C. Murphy (Director, Quality Enhancement Plan Topic Selection Committee)
Dr. Nicole Leeper Piquero (Co-Chair, Faculty Committee)
Dr. Lawrence J. Redlinger (Co-Chair, Institutional Effectiveness Committee)
Cary Delmark
Josh Hammers (Chair, Learning and Student Resources Committee)
Dr. Calvin D. Jamison
Dr. Kimberly Laird (Chair, Financial and Physical Resources and Information Technology Committee)
Debbie Montgomery (Co-Chair, Learning and Student Resources Committee)
Dr. Catherine Parsoneault
Dr. Gloria Shenoy
Sue Sherbet
Toni Stephens
M. Beth Tolan (Co-Chair, Financial and Physical Resources and Information Technology Committee)
Dr. Mary Jo Venetis
Vy Trang: Administrative Support

Leadership Team

Serenity Rose King, Chair
Dr. B. Hobson Wildenthal
Dr. Inga Musselman
Ryan Dorman
Dr. Joanna K. Gentsch
Josh Hammers
Dr. Marilyn Kaplan

Dr. Kimberly Laird
Dr. Jessica C. Murphy
Dr. Clint Peinhardt
Dr. Nicole Leeper Piquero
Dr. Mary Jo Venetis
Vy Trang
Simon Kane

ITEM 3

State Auditor's Office Regarding Statewide Single
Audit [email correspondence]

Subject: RE: Message from the State Auditor's Office Regarding the Statewide Single Audit
Date: Friday, April 1, 2016 at 1:35:44 PM Central Daylight Time
From: Donna Barrett
To: Laird, Kimberly
CC: Crystal Baird

Yes, sort of.

We do receive financial aid audits where the opinion rests on a system or a state, but where findings are listed by institution, and that works.

In your case, however, since you are clearly not going to be included in an audit of a larger entity, yes you would need a true audit of your financial aid to meet 3.10.2.

From: Laird, Kimberly [mailto:kl130430@utdallas.edu]
Sent: Friday, April 01, 2016 2:33 PM
To: Donna Barrett
Cc: Crystal Baird
Subject: RE: Message from the State Auditor's Office Regarding the Statewide Single Audit

Donna,

You have my sincerest thanks for your prompt response and expert guidance! I agree that engaging an external firm for the state and federal financial aid audit for FY 2016 is a very wise idea.

To clarify and ensure we are crystal clear when we put out the RFP for the financial aid engagement, please verify the accuracy of my following statement. While the FY 2017 financial statement specialized review engagement (and related management report) will satisfy the requirements for CR 2.11.1, we will need a true audit for financial aid (and an unqualified opinion) to satisfy the requirements for CS 3.10.2.

Again, I cannot thank you enough for your continued support and assistance.

Kim

From: Donna Barrett [mailto:dbarrett@sacscoc.org]
Sent: Friday, April 01, 2016 12:47 PM
To: Laird, Kimberly <kl130430@utdallas.edu>
Cc: Crystal Baird <cbaird@sacscoc.org>
Subject: RE: Message from the State Auditor's Office Regarding the Statewide Single Audit

Hi Kim,

I have to start at the beginning to keep things clear in my mind.

Your institution is a 2018-B, which means (dates approximate):

Compliance Certification due: September 2017

Last date to submit your FY 2017 audit to be considered as part of the off-site: approximately October 24, 2017

Off-Site Review (in Atlanta): November 2017

On-Site Review (on your campus): sometime between January and April 2018

Your response due to committee report: Fall 2018

Reaffirmation of your institution: December 2018

Your question was, what do you need to satisfy CS 3.10.2 (audits of federal and state aid). You will have to provide documentation of external audit of both state and federal financial aid. So, there's my first caution; don't forget the state financial aid part (a common mistake).

The financial aid audit must be for your accredited institution as it stands alone. Findings must be by institution, not system or state. An important point is that you can provide the state federal awards audit if, and only if, findings are listed by institution and the institution is clearly included (such as being listed in the federal awards listing by name). It sounds like you won't be included in the state audit.

If that's the case you likely will have to engage an outside firm, not unusual.

When you submit your CC fall 2017, it is fine if the financial aid audit submitted is for the fiscal year ended 2016. CR 2.11.1 requires financial statements "for the most recently ended fiscal year", which means that before you are reaffirmed you will have to provide audited financial statements for FY 2017. No such caveat exists in CS 3.10.2 for the audit of financial aid.

There is a strategy to this process. It might not be a bad idea to have the financial aid audit done for FY 2016, so that if there were findings you'd have time to correct them. Yes, that would require paying for an external audit for FY 2016 (and FY 2017 if there were findings in FY 2016), but it might keep financial issues out of the reaffirmation process.

If any / all of that doesn't answer your question, please feel free to email me back. It cheers my heart when folks think ahead. Thank you for that.

My best as always, Donna

From: Laird, Kimberly [<mailto:kl1130430@utdallas.edu>]

Sent: Friday, April 01, 2016 1:17 PM

To: Donna Barrett

Subject: FW: Message from the State Auditor's Office Regarding the Statewide Single Audit

Hi Donna,

I hope you are having a terrific spring!

We have just received notice from our State Auditor's Office that they will not audit the SFA and Research clusters for FY 2016 and may not audit the clusters for FY 2017. This decision will certainly affect us as members of the 2018 reaffirmation class.

I am happy to coordinate engaging an outside firm to perform the required attestation work expected by the SACSCOC. However, I want to make sure I understand exactly what the SACSCOC requires with regard to the SFA and Research clusters. Please advise.

Thank you!!

Kim

Kimberly Laird, Ed.D., MBA, CPA

Associate Vice President and Controller

972-883-4784 | Kimberly.Laird@utdallas.edu

[Office of Budget and Finance](#)

[The University of Texas at Dallas](#)



Have a Question? [askYODA](#)

From: Stephens, Toni

Sent: Friday, April 01, 2016 11:20 AM

To: Pankratz, Terry <tap130230@utdallas.edu>; Gnade, Bruce <beg031000@utdallas.edu>; Laird, Kimberly <kll130430@utdallas.edu>; Tolan, Beth N <bnt031000@utdallas.edu>; Martin, Rafael O <rxm034000@utdallas.edu>

Subject: Fwd: Message from the State Auditor's Office Regarding the Statewide Single Audit

FYI.

Sent from my iPhone

Begin forwarded message:

From: State Auditor's Office <stateauditor@sao.texas.gov>

Date: April 1, 2016 at 11:02:02 AM CDT

To: SAO Reports <reports@sao.texas.gov>

Subject: Message from the State Auditor's Office Regarding the Statewide Single Audit

Higher Education Institution Presidents:

The State Auditor's Office will not audit the Student Financial Assistance and Research and Development clusters for the federal portion of the statewide Single Audit for fiscal year 2016 and potentially for fiscal year 2017. That is the result of new criteria in Title 2, Code of Federal Regulations, Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Grant Guidance) that affect the determination of major programs. Based on those criteria and the results of the federal portion of the statewide Single Audit for fiscal year 2015, the Student Financial Assistance and Research and Development clusters qualify as low-risk, Type A programs.

Most state higher education institutions rely on the statewide Single Audit to meet certain audit requirements in the Southern Association of Colleges and Schools' (SACS) accreditation process, specifically as those requirements pertain to the Student Financial Assistance cluster. Therefore, we encourage each higher education institution to determine how the changes to the statewide Single Audit could affect its accreditation process based on each higher education institution's SACS reaffirmation schedule. If your higher education institution determines that it needs audit services for SACS reaffirmation purposes, it will need to obtain a delegation of audit authority from the State Auditor's Office to obtain audit services from an independent certified public accountant. Any resulting audit may not be performed as a Single Audit under Uniform Grant Guidance. It may be necessary for higher education institutions to coordinate with their SACS representatives to determine the nature of audit/attestation services that would satisfy the SACS requirements. If you have any questions, please contact Jim Timberlake, Audit Manager, at 512-936-9672 or james.timberlake@sao.texas.gov.

Sincerely,
Lisa R. Collier, CPA, CIDA
First Assistant State Auditor

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ITEM 4

Principles CR 2.5, CS 3.3.1 and its subsets

CR 2.5 - Institutional Effectiveness: The institution engages in ongoing, integrated, and institution-wide research-based planning and evaluation processes that (1) incorporate a systematic review of institutional mission, goals, and outcomes; (2) result in continuing improvement in institutional quality; and (3) demonstrate the institution is effectively accomplishing its mission.

CS 3.3.1 - Institutional Effectiveness: The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results in each of the following areas:

- 3.3.1.1 educational programs, to include student learning outcomes
- 3.3.1.2 administrative support services
- 3.3.1.3 academic and student support services
- 3.3.1.4 research within its mission, if appropriate
- 3.3.1.5 community/public service within its mission, if appropriate