

LOOK NORTH

UNT 2030

DEVELOP | DISCOVER | DRIVE



UNIVERSITY INTEGRITY
& COMPLIANCE

WHO WE ARE

Guided by UNT's core values, University Integrity and Compliance champions a culture of ethical conduct and accountability across campus. We ensure that every aspect of university life, from teaching and research to daily operations, upholds the highest standards of integrity and full compliance with all laws, regulations, and policies. Through proactive training, guidance, and oversight, University Integrity and Compliance empowers faculty, staff, and students to make principled decisions, safeguarding public trust while propelling UNT's mission of excellence.



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Executive Summary

Strategic Direction Through 2030

By 2030, University Integrity and Compliance will operate a fully managed, data-driven compliance program supported by real-time performance dashboards, a comprehensive Conflict of Interest program, and a mature Research Security Program aligned with federal requirements. The program will also deliver modern, role-based training with measurable effectiveness and strengthen transparency through improved Clery reporting and governance practices.

These capabilities protect the federal research funding that supports innovation and economic growth in Texas while ensuring UNT meets heightened regulatory expectations. For students, this translates to a safer campus, clearer ethical standards, and greater confidence that concerns are addressed fairly and consistently. More broadly, a compliance program that can demonstrate its effectiveness builds public trust in higher education as a responsible steward of public funds, reinforcing UNT's role in advancing the public good.

Unique Role, Contribution, and Strengths

UIC is a structural component of the university that contributes directly to UNT's mission. By embedding integrity into teaching, research, and service operations, UIC creates the conditions under which UNT can pursue discovery and innovation without exposing itself to regulatory, legal, or reputational harm. Its hub-and-spoke model, anchored by unit-level compliance partners, distributes ethical accountability across every college and administrative unit rather than concentrating it in a single office.

UIC's core strengths reflect both depth and reach. UIC grounds the program in nationally recognized standards. Its governance framework draws on the Federal Sentencing Guidelines, Department of Justice Evaluation of Corporate Compliance Programs, and the Institute of Internal Auditors Three Lines Model, giving it defensible structure. The program operates independently of the units it oversees, maintaining credibility with regulators and auditors alike. Its integration with the UNT System's Enterprise Risk Management framework ensures compliance priorities are visible at the executive and Board level.

What makes UIC distinctive is its dual role: it safeguards the institution while actively developing the ethical capacity of the people within it, which directly supports UNT's commitment to developing talent, discovering knowledge, and driving growth.

Navigating External Forces, Trends, and Contexts

The compliance landscape through 2030 is defined by intensifying pressure on multiple fronts. Federal and state research security enforcement has escalated under recent legislation, demanding formal program infrastructure that UNT is still building. Title IX regulations continue to shift, requiring ongoing policy realignment. State legislative scrutiny of public university operations is growing, raising the stakes for transparent reporting and defensible governance. Emerging technologies, particularly AI, Bring Your Own Device (BYOD), and unmanaged messaging platforms, create compliance risks that existing policy

frameworks were not designed to address. Internally, the university operates with limited resources, meaning workforce capacity remains a real constraint as regulatory demands expand.

The opportunities are equally significant. UNT is positioned to become a recognized model for data-driven compliance by achieving Capability Maturity Model Integration (CMMI) Managed-level maturity, a distinction indicating an institutional commitment to Compliance. The planned performance dashboard and KPI framework will allow UIC to demonstrate program effectiveness with precision, strengthening relationships with federal sponsors, accreditors, and the state. The Research Security Program and COI infrastructure, once mature, also position UNT competitively for federal funding in an environment where research integrity is under unprecedented scrutiny.

Strategic Goals (2026-2030)

- **Enhance training and culture of integrity:** This initiative advances the “Develop” pillar by building campus-wide ownership of ethics and compliance through role-tailored training, communications, and reinforcement of a speak-up culture.

Success by 2030: Compliance training is modernized, scenario-based, and measurably effective. Annual culture surveys show improving ethical climate scores. The campus community treats integrity as a shared value rather than an administrative requirement, and UIC's training program is recognized for its innovation and impact.

- **Enhance research security and compliance:** This initiative is aligned to “Discover,” by ensuring the institution meets evolving federal and state research security requirements, strengthens oversight of human subjects and laboratory research, and maintains the compliance infrastructure necessary for sponsored research to proceed without interruption. Without this foundation, the discovery mission is exposed to funding loss, regulatory sanction, and reputational damage.

Success by 2030: A fully operational Research Security Program meets all current federal and state research security requirements. Research compliance gaps identified in 2026 are closed. A joint report with the Division of Research and Innovation demonstrates UNT's alignment with national research integrity standards, strengthening sponsor and public confidence.

- **Strengthen risk management and compliance infrastructure:** This initiative advances the “Drive” pillar by optimizing the processes, governance structures, and technologies that allow the university to manage risk at scale. A mature Conflict of Interest Program, streamlined policy development cycles, and responsible AI and data governance all reduce friction, increase transparency, and allow university initiatives to move forward within a compliant framework.

Success by 2030: A comprehensive COI program is fully operational and benchmarked against national best practices. Policy revision cycles are significantly faster. Responsible AI and BYOD governance frameworks are embedded in university operations. The Annual Security and Fire Safety Report is recognized for accuracy and transparency, and disciplinary review processes are standardized across the institution.

- **Advance program measurement capability to achieve managed-level maturity:** This goal cuts across all three pillars by providing the measurement infrastructure that makes progress on Goals 1, 2, and 3 verifiable and defensible. Moving from defined to managed maturity under the CMMI model means UIC can quantify its impact, detect emerging risks in real time, and demonstrate program effectiveness to regulators, federal sponsors, accreditors, and state regulators with precision and confidence.

Success by 2030: CMMI managed-level maturity is validated by an independent assessment. A real-time compliance performance dashboard is fully operational, integrated with university system data. KPI baselines established in 2026 show measurable improvement across all program areas. A formal mid-cycle review in FY29 confirms the plan remains aligned with institutional priorities and the regulatory environment.

Key Outcomes & Metrics

University Integrity and Compliance contributes to UNT's core metrics by protecting the conditions that allow student success and research growth to occur reliably. UIC does this by strengthening role-tailored training, improving policy clarity and governance, advancing research security and compliance, and using risk-based monitoring and reporting so leaders can see and manage compliance trends before they become disruptions.

UIC supports retention by reinforcing a campus environment where expectations are clear, reporting channels are trusted, and issues are handled consistently. In its strategic plan, UIC emphasizes required compliance training, a speak-up culture, and consistent application of policies and processes. These elements reduce preventable friction and improve confidence in institutional fairness, which supports students staying enrolled.

UIC contributes to timely completion by helping the university operate with predictable, well-governed processes that do not create unnecessary administrative delays for students. The strategic plan highlights continuous policy review cycles and consistent compliance practices that reduce process variation and prevent avoidable interruptions in student support structures, including scholarship-related compliance checks.

UIC strengthens persistence conditions over a multiyear horizon by addressing systemic issues through structured review and by monitoring compliance expectations across units to support stable learning and support environments. The plan's emphasis on governance, risk assessment, and reporting gives leadership earlier visibility into repeat issues and chronic risk areas that can erode student stability over time.

UIC enables research growth by reducing compliance barriers to sponsored funding and by strengthening research security readiness that sponsors increasingly expect and that are required to

obtain Department of Defense (DoD) projects. The plan commits UIC to collaborating with research partners to implement a Research Security Program, conduct gap analysis, improve training, and support audits and monitoring tied to research security, export controls, and related requirements.

UIC supports doctoral completion by protecting continuity in doctoral research and by minimizing avoidable administrative disruptions. The plan ties this work to research security training and safeguards, oversight of international travel risk in research contexts, and governance practices that keep requirements and expectations clear and current.

UIC contributes to time to value by reducing preventable delays to completion and by supporting continuity in the educational and research environment that helps students graduate on time. The plan explicitly connects improved policy governance, consistent processes, research compliance support, and a stable institutional environment to reducing disruptions that lengthen time to degree and delay entry into the workforce.

UIC's principal data inputs will include:

- Training and awareness data from learning systems and training evaluations, including completion status and effectiveness feedback.
- Case and issue management data from compliance reporting and investigative processes, including volumes, categories, cycle times, and repeat-issue indicators.
- Policy and governance workflow data capturing policy revision cycle time, adoption milestones, and compliance touchpoints for high-risk processes.
- Research security and compliance assurance data from gap analysis, training participation, and risk-based monitoring or audits conducted with research partners.
- Clery Act quality assurance checkpoints tied to pre-publication review processes and internal mock audit activities described in the plan.

Emergent Metrics

UIC will not have visibility into most emergent outcomes as we have limited contact with students, but UIC can strengthen how UNT measures them by improving governance, data stewardship, and risk controls that keep emerging-data efforts credible, privacy-protective, and consistent.

To provide clear executive visibility while campus-wide emergent metrics mature, UIC will report a concise set of unit-level indicators already contemplated by the plan's key performance indicator (KPI) framework: training completion and effectiveness signals, issue volume and cycle-time measures, policy cycle-time measures, research security program progress measures, and Clery Act quality assurance milestones tied to the improved review model.

These measures show whether UIC is delivering its five-year plan, and documents how UIC is reducing institutional risk that can slow progress on UNT's student success and research targets under *Look North: UNT 2030*.

Core Metrics: Established Benchmarks that Define University Performance

1st to 2nd year retention

UNT Baseline (2024/25): **77%** | UNT Target (2030): **90%**

Unit contribution to achieving targets:

- Promotes a safe, respectful campus environment through required compliance training (e.g., FERPA, Title IX, ethics).
- Reduces early attrition by addressing misconduct and resolving compliance concerns quickly through established investigative processes.
- Enhances students' sense of trust and belonging by ensuring policies are applied consistently and transparently.

4-year graduation rate

UNT Baseline (2024/25): **42%** | UNT Target (2030): **65%**

Unit contribution to achieving targets:

- Ensures scholarship processes comply with legal and donor requirements, reducing unexpected interruptions in student funding.
- Maintains policy clarity through continuous policy review cycles, reducing administrative friction that can delay degree progress.
- Supports equitable application of academic procedures, decreasing the likelihood of procedural barriers that extend time to degree.

6-year graduation rate

UNT Baseline (2024/25): **61%** | UNT Target (2030): **80%**

Unit contribution to achieving targets:

- Identifies and corrects systemic issues through structured investigative processes, reducing long term obstacles that impede student persistence.
- Monitors compliance across academic units to ensure stable, predictable learning environments over multi-year enrollment periods.
- Strengthens institutional trust and safety, factors that help students remain enrolled through degree completion.

Annual R&D expenditures

UNT Baseline (2024/25): **\$124M** | UNT Target (2030): **\$250M**

Unit contribution to achieving targets:

- Supports secure and compliant research operations through the Research Security Program, including framework development, training, and committee coordination.
- Ensures export control, foreign research due diligence, and Principal Investigator (PI) compliance processes meet federal expectations, critical for maintaining eligibility for sponsored funding.
- Reduces institutional risk, making the university more competitive for federal and industry research awards.

Doctoral degrees awarded

UNT Baseline (2024/25): **286** | UNT Target (2030): **300**

Unit contribution to achieving targets:

- Resolves compliance concerns related to program requirements (e.g., graduate student employment, academic policy alignment), minimizing delays in doctoral progression.
- Protects doctoral research continuity through oversight of international travel risk, research security, and PI training requirements.
- Ensures that academic programs operate within legal and policy boundaries, reducing administrative disruptions that affect doctoral timelines.

Time to value

UNT Baseline (2024/25): **6 years** | UNT Target (2030): **Decrease time for programs over median**

Unit contribution to achieving targets:

- Reduces risk of delayed program completion through strengthened policy governance and consistent compliance processes, helping students graduate on time and enter the workforce sooner, shortening the breakeven timeline.
- Protects the continuity and quality of academic programs (e.g., scholarship compliance checks, and oversight activities), reducing student disruptions that can lengthen degree completion and delay earnings.
- Supports research security and compliant operations, ensuring uninterrupted funding, assistantships, and academic employment for graduate students, helping them maintain momentum toward completing degrees that lead to higher earning potential.
- Promotes an equitable, safe, and stable institutional environment, reducing attrition and re-enrollment delays that extend time to degree and push the breakeven point further into the future.

Emergent Metrics: Important Dimensions of Our Success that Require New Approaches

Post-graduation placement: Percentage of graduates placed in high-demand occupations or graduate and professional programs

Due to limited student engagement, UIC has no existing data or plans to develop tracking mechanisms.

Career-aligned learning: Percentage of academic programs that integrate internships, industry-sponsored projects, or other work-integrated learning experiences

Due to limited student engagement, UIC has no existing data or plans to develop tracking mechanisms.

Awards and recognitions: Prestigious awards, exhibitions, and performances achieved by our students, faculty, staff, and alumni

Due to program limits, UIC has no existing data or plans to develop tracking mechanisms.

Innovation and entrepreneurship: New ventures, startups, and public impact projects launched by students, faculty, and alumni

Due to limited engagement, UIC has no existing data or plans to develop tracking mechanisms.

Student and alumni engagement: Perceptions of how well UNT prepares graduates to pursue lives of meaning and purpose

Due to limited student engagement, UIC has no existing data or plans to develop tracking mechanisms.

Unit-Level Metrics: Other Important Priority Metrics Tracked at the Unit Level

- **Retaliation allegation rate:** Monitors retaliation concerns raised through formal compliance investigations in order to identify potential risks related to workplace culture, reporting confidence, or management response to protected activity.
- **Corrective action completion rate:** Tracks whether corrective actions issued as a result of compliance investigations are completed within the assigned timeframe in order to ensure timely remediation of identified compliance issues and prevent recurrence of violations.
- **Complaint intake responsiveness:** Measures how quickly formal complaints receive an initial response to ensure timely follow-up, protect reporting integrity, and reduce risk created by delayed escalation management.
- **Policy review cycle adherence:** Ensures compliance policies are reviewed and updated on time so we do not rely on outdated guidance that could create regulatory or operational risk.
- **Mandatory training delinquency rate:** Identifies employees who are overdue on required training, helping reduce compliance risk caused by knowledge gaps.

Goals in Action

Develop the potential of UNT students, faculty, staff, and community members

- **Modernize compliance training and awareness:** UIC will redesign its compliance training program to move beyond mandatory checkbox modules toward role-tailored, scenario-based, and micro-learning formats delivered through the LMS and mobile platforms. Working in partnership with Human Resources, Staff Senate, and Faculty Senate, UIC will embed integrity messaging into annual faculty and staff development events, ensuring compliance education reaches every corner of campus. Effectiveness will be measured through post-training assessments and annual culture surveys.
- **Enhance a sustained campus ethics culture:** UIC will develop ongoing communications, recognition programs, and engagement initiatives that reinforce ethical decision-making as a professional value rather than a regulatory obligation. This includes integrity awards, campus-wide communications, and voluntary participation opportunities that broaden community investment in compliance. By 2030, culture survey results will serve as a measurable indicator of program impact.
- **Strengthen the compliance partners network:** UIC's unit-level compliance partners represent an interdisciplinary collaboration infrastructure that spans every college and administrative division. UIC will invest in developing these partners through targeted training, clearer communication protocols, and structured engagement, deepening the distributed ownership of compliance across the institution and reducing the burden on central offices.
- **Promote campus safety through Clery Act transparency:** UIC will improve the quality, accessibility, and community relevance of UNT's Annual Security and Fire Safety Report through pre-publication reviews, community safety forums, and data-driven analytics. Engaging students and employees in annual feedback loops ensures safety reporting reflects the lived experience of the campus community and supports UNT's commitment to student wellbeing and success.

Discover new knowledge and insights that bridge traditional academic disciplines

- **Implement a comprehensive Research Security Program:** UIC will collaborate with the Division of Research and Innovation to build a Research Security Program that meets all current federal requirements under the CHIPS and Science Act, National Security Presidential Memorandum 33, and Texas Education Code. This includes strengthening export controls, cybersecurity safeguards for research data, international collaboration protocols, international travel controls, and mandatory research security training for principal investigators and research staff. A gap analysis conducted in 2026 will drive a phased improvement plan through 2029.
- **Strengthen research compliance infrastructure and monitoring:** UIC will support research compliance committees, including IRB, IBC, and IACUC, through policy clarity and enforcement

activities. Risk-based reviews of high-risk research areas, including international collaborations and labs handling controlled information, will be conducted periodically to detect and correct issues early. By embedding compliance checks into the full research project lifecycle, UIC reduces the risk of grant disallowances, sanctions, or loss of federal sponsorship.

- **Advance Cybersecurity Maturity Model Certification (CMMC) readiness:** UIC will maintain active visibility over the CMMC assessment and certification process for Department of Defense grants involving Controlled Unclassified Information, ensuring UNT remains competitive for federal research funding in an environment of heightened security scrutiny. This directly supports UNT's financial stability by protecting access to DoD-sponsored research dollars.
- **Publish joint research integrity reporting:** By 2029, UIC and the Division of Research and Innovation will publish a joint report demonstrating UNT's progress in safeguarding research integrity and security. This positions UNT favorably with federal sponsors, accreditors, and peer institutions, strengthening the university's reputation as a responsible research enterprise and supporting continued investment in discovery and innovation.

Drive creative advances, partnerships, and new models of higher education

- **Achieve CMMI managed-level maturity through a real-time performance dashboard:** UIC will deploy a compliance performance dashboard integrated with the Case IQ case management system and LMS training data, giving UIC and executive leadership real-time visibility into program performance across all key metrics. This replaces manual data compilation and enables proactive intervention when metrics trend negatively, directly advancing the program from Defined to Managed maturity on the CMMI scale. This capability makes UIC's effectiveness demonstrable and defensible to regulators, auditors, and the Board of Regents.
- **Implement a comprehensive Conflict of Interest Program:** UIC will develop and operationalize a university-wide COI program with electronic disclosure systems, trained review committees, and annual disclosure requirements for faculty and key staff. A mature COI program reduces legal and financial exposure, supports the integrity of research and procurement decisions, and demonstrates to federal sponsors that UNT actively manages conflicts in its research enterprise, a growing area of federal enforcement.
- **Govern responsible technology and AI use:** In partnership with System IT and the Associate Vice Chancellor for Enterprise Applications, UIC will develop Responsible AI Guidelines, an AI accountability framework, and a comprehensive BYOD communications policy. These governance structures allow UNT to pursue technology-driven innovation without creating unmanaged compliance risk, positioning the university as a leader in ethical technology use among peer institutions.
- **Streamline policy development and governance cycles:** UIC will reduce policy revision cycle times through improved workflows, a Policy Development Training Module for policy owners, and exploration of AI-assisted legal review for policy updates. Faster, more consistent policy

management reduces institutional risk, improves regulatory responsiveness, and supports the operational agility UNT needs to adapt to a rapidly changing compliance environment.

- **Integrate compliance risk into enterprise-level decision-making:** UIC's compliance risk assessment is coordinated with the UNT System's Enterprise Risk Management framework, ensuring significant compliance risks are visible at the executive and Board level. Quarterly trend analysis, structured annual program evaluations, and a formal mid-cycle strategic review in FY29 will ensure compliance priorities remain aligned with institutional strategy and the evolving regulatory landscape, supporting evidence-based resource allocation across the university.