FLORIDA STATE UNIVERSITY  
BOARD OF TRUSTEES MEETING  

FRIDAY, MARCH 4, 2016  
8:30 AM

The Agenda will be followed in subsequent order and items may be heard earlier than the scheduled time.

I. CALL TO ORDER AND WELCOME  
Mr. Ed Burr, Chair

II. APPROVAL OF MINUTES (ACTION)  
- October 9, 2015, Meeting Minutes  
- December 18, 2015, Conference Call Meeting Minutes

III. PUBLIC COMMENTS

IV. PRESIDENT’S REPORT  
Mr. John Thrasher, President
V. CONSENT ITEMS
A. Requesting Approval of the Academic Calendar
B. Requesting Approval of Amendment to Regulation, FSU-4.001 General Human Resource Policies
C. Requesting Approval of Amendment to Regulation, FSU-3.004 Student Conduct Code and FSU-3.0041 Student Organization Conduct Code
D. Requesting Approval of Renewal and Amendment of the Florida State University School Charter
E. Requesting Approval of Board of Trustees Finance, Business, and Audit Committee Charter
G. Requesting Approval of Policy for Direct Support Organization Contracts with External Auditors
H. Requesting Approval of Update to the Audit Charter for the Office of Inspector General Services
I. Requesting Approval of the 2016 Affirmative Action Plan
J. Requesting Approval to Implement Bachelor of Science in Interdisciplinary Medical Sciences
K. Requesting Approval to Implement Bachelor of Science in Public Health
L. Requesting Approval to Implement LLM in Business Law
M. Requesting Approval to Explore Masters of Science in Aerospace Engineering
N. Requesting Approval to Explore Ph.D. in Aerospace Engineering
O. Requesting Approval to Implement Bachelors of Science in Environment and Society
P. Requesting Approval to Explore Bachelor of Arts/Bachelor of Science in Entrepreneurship
Q. Requesting Approval to Explore Master of Arts in East Asian Languages and Literature
R. Requesting Approval of the Graduate Medical Education Annual Report
S. Requesting Approval of the 2015-2016 Annual Accountability Report

VI. NEW BUSINESS
A. Academic Affairs
   Dr. Sally McRorie, Provost and Executive Vice President for Academic Affairs
   Information Item
   - Report on Tenure
B. University Advancement  
*Dr. Thomas W. Jennings, Vice President for University Advancement*

**Information Items**
- Fossil Fuel Divestment  
  *Mr. Daniel Pertwee, Representative of Divest FSU*
  *Ms. Alexandra Duprey, Director, Office of Student Sustainability, Student Government Association*
- Alumni Association Update  
  *Mr. Tom Hynes, Chair, Alumni Association Board*

**Action Items**
1. Requesting Approval for Revision of the Seminole Boosters Bylaws
2. Requesting Approval of Naming Opportunity at the College of Medicine
3. Requesting Approval of Naming Opportunity at the College of Law

C. Athletics  
*Mr. Karl Hicks, Deputy Athletics Director of External Operations*

D. Student Government Association  
*Ms. Iyanna Pierre-Louis, Vice President of Student Government Association*

E. Faculty Senate  
*Dr. Todd Adams, Faculty Senate Steering Committee*

F. Research  
*Dr. Gary K. Ostrander, Vice President for Research*

G. Student Affairs  
*Dr. Mary Coburn, Vice President for Student Affairs*

H. Finance, Business & Audit  
*Mr. Kyle Clark, Vice President for Finance & Administration*

**Action Items**
1. Requesting Approval of Audit Report AR 16-04 - Performance-Based Funding Metrics Data Integrity Certification Audit for Fiscal Year 2015-2016 and Required Certification
I. **Governmental Relations**  
*Ms. Kathleen Daly, Associate Vice President for Governmental Relations*

J. **General Counsel**  
*Ms. Carolyn Egan, General Counsel*

VII. **Open Forum for Board of Trustees**  
*Mr. Ed Burr, Chair*

VIII. **Adjournment**
I. CALL TO ORDER AND WELCOME
   *Mr. Allan Bense, Chair*

   Chair Bense called the meeting to order at 9:00 am. Lynna Sands conducted the roll call.

II. APPROVAL OF MINUTES (ACTION)
   *Trustee Pantin moved to approve the June 26, 2015, meeting minutes. Trustee Camps seconded the motion and the minutes were approved.*

III. PUBLIC COMMENTS
   *There were no public comments.*

IV. PRESIDENT’S COMMENTS
   *Mr. John Thrasher, President*

   President Thrasher provided an update on the following:
   - President Thrasher reflected on the past 11 months and thanked his senior staff for their hard work on behalf of the university.
   - Awarded market equity pay increase to more than 600 faculty as well as other pay increases
   - National Rankings
     - US News and World Reports ranked our College of Business Insurance program 5th and Real Estate program 6th among public universities
     - US News ranked Florida State University ranked 43 among public universities
• Dr. Laura Green, was recruited to be the chief scientist at the Mag Lab. She is a National Academy member.
• The freshman class for fall 2016 consisted of 6100 students and the average GPA is 4.0 and SAT score is 1856
• National searches are underway for the provost and deans for the Colleges of Law, Business and Engineering
• FAMU and FSU continue joint efforts to improve the College of Engineering for the benefit of the students and faculty. Recently, upgrades have been made to the Engineering facilities. FSU hosted the ADEP accreditation team and expect receive a full re-accredited July 2016.
• FSU has met twelve of the twelve rigorous standards of a pre-eminent university. The Legislature currently supplements the university annual budget by $25 million in preeminence funding. This allowed FSU to advance on several fronts including 57 new faculty members in STEM fields, and 8 entrepreneurs-in-residents to teach students. We are asking the Legislature for an additional $10 million in preeminence funding to assist with hiring new faculty to advance FSU to a Top 25 university.
• Requesting additional funds to supplement the private funds raised for three new facilities.

V. STRATEGIC PLANNING COMMITTEE UPDATE
Dr. Sally McRorie, Interim Provost and
Mr. John Braunstein and Mr. Ben Weldowski, AKA Strategy Consultants

John Braunstein and Ben Weldowski, AKA Strategy Consultants, reviewed the strategic plan process and goals:
• Arrive at a shared vision of what FSU is and what it will be in the 5-10 years
• Develop a relativity small, high-level strategic plan with a small number of high-level goals and for each goal a set of initiatives and strategies that support the accomplishment of each goal.
• By March 2016, present a near-final draft of the strategic plan for wide-spread discussion
• March-May, 2016, focus group discussions
• The Strategic Planning Committee has been formed to include alumni, student, staff and faculty.

VI. CONSENT ITEMS
A. Requesting Approval for Termination of Degree Program – Research and Evaluation Methods, MA/Ph.D.
B. Requesting Approval for Termination of Degree Program - American and Florida Studies, BA/MA
C. Requesting Approval for Termination of Degree Program - Chemical Physics, MS/Ph.D.
D. Requesting Approval for Termination of Degree program – Communication Science and Disorders, Advanced Masters
E. Requesting Approval for the FSU College of Medicine Graduate Medical Education Annual Institutional Review Executive Summary (AY 2013-2014)
F. Requesting Approval for Changes to the State of Florida Institute Designation for the LeRoy Collins Institute
G. Requesting Approval of the 2015-2016 ACC Governing Board Certification
H. Requesting Approval of the Status Report on Construction Projects over $2.0 Million and Change Orders
I. Requesting Approval of the Status Report on Purchase Orders over $1.0 million and 5+ Year Service Contracts
J. Requesting Approval of Delegation of Authority to President to Approve the Florida Educational Equity Act Report(s)
K. Requesting Approval of Amendment to FSU Regulation 2.009 Parking and Traffic Regulations
L. Requesting Approval of Amendment to FSU Regulation 2.015 Procurement and Purchasing
M. Requesting Approval of Amendment to FSU Regulation 2.023 Public Records: Uniform Charge Procedure
N. Requesting Approval of the 2015-2016 Audit Plan for the Office of the Inspector General Services

Trustee Pantin moved to approve the Consent Items as presented. Trustee Duda seconded the motion and it was approved unanimously.

VII. NEW BUSINESS

A. University Advancement

Dr. Thomas W. Jennings, Vice President for University Advancement

Dr. Jennings provided the following update for the DSOs in the University Advancement Division:

- The Vires Artes Mores Society Honor Wall – Honoring donors with lifetime giving (excluding pledges or bequests) of $250,000 or more – will be located in Westcott Building near the Ruby Diamond Concert
- Philanthropic Commitments are at the highest level in 2015
- The Raise the Torch Campaign total as of October 14, 2015 is $718,901,243 of the $1 billion goal. Two years and 9 months remain in the campaign.
- The FSU Joint Advancement DSO Board Meeting is scheduled for January 28-30, 2016, at Disney’s Boardwalk Inn.
- The University Advancement Gift Acceptance and Counting Policies were revised.
• The 1st joint planning session among the DSOs’ annual giving and membership staff members was held
• FSU Foundation donor engagement upcoming events are scheduled for September 16 (Boston), October 22 (Atlanta) and December 9 (Ft. Lauderdale)
• Real Estate Foundation activity includes:
  o FICPA Property – College Avenue & Bronough Street
  o Call Street property
  o Monroe Street property
• Seminole Boosters are presenting the George Langford Award to Al & Judy Dunlap and Allan Bense
• FSU Alumni Association Recognition Programs:
  o Circle of Gold
  o Grads Made Good
  o Bernie Sliger Award
  o 30 Under Thirty Young Alumni
  o Reuben Askew Awards
    ▪ Dr. Brooke Druliner
    ▪ Ms. Herneshia Dukes
    ▪ Dr. James Enos
    ▪ Dr. Katelyn Jordan
    ▪ Mr. Cesar Mize
    ▪ Mr. Joe Mashie

B. Athletics
  
  *Mr. Stan Wilcox, Director of Athletics*

Mr. Wilcox provided an update on Athletics, highlighting student-athletes.
• FSU continues to rank in the top 5 in the Learfield Director’s Cup
• ACC Accolades
  o FSU has the second-most ACC Championships (first percentage-wise)
  o FSU has the most ACC Coaches of the Year – 5
• Academics
  o 10 of 11 Women’s teams have above a 3.0 cumulative team GPA
  o Two men’s teams have above a 3.0 cumulative GPA
  o 7 of 9 Men’s teams increased their 2015 Spring Term GPA
  o 111 Student-athletes made the Dean’s List
  o 25 Student-athletes made the President’s List
• Colleen Quigley is one of nine finalists for NCAA Woman of the Year out of 480 candidates
• Athletics has a cumulative GPA of 2.968
• Equity & Student Welfare Committee  
  o Dr. Billy Close  
  o Dr. Alma Littles  
  o Dr. Lynn Panton  
  o Dr. Mary Coburn  
  o Chief David Perry  
  o Ms. Venessa Fuchs  
  o Dr. Wayne Hochwarter  
  o Dr. Eric Stewart  

• Investment in Infrastructure  
  o Softball – Field & Locker Room Upgrades  
  o Women’s & Men’s Basketball Practice Facility – floor has been refurbished, other upgrades are underway at the civic center  
  o Soccer – Locker Room Upgrades  
  o Donald L. Tucker Civic Center – sound equipment upgrades  
  o Cost of Attendance  
  o Full Pell Grant recipients can receive up to $10,276 (in-state)  
  o In order for student-athletes to receive cost of attendance stipends, they are required to complete the personal finance course  

• Teach & Support for Student Athletes  
  o You’ve Been Challenged – speakers are brought in to educate and challenge student-athletes on leadership, ethics and what is expected of them at Florida State University  

C. Student Government Association  

Ms. Iyanna Pierre-Louis, Vice President of Student Government Association  

Ms. Pierre-Louis provided an overview of the Student Government Association activities including:  

• The mission of the Tabares/Pierre-Louis/McGuiness administration is to provide the student body with a VOICE through opportunity and engagement.  
• Unconquered Issues which gives the opportunity for students to message any member of SGA regarding concerns or suggestions to improve Florida State University.  
• NoleCab allows students to electronically transfer money onto a card to have another safe transportation service after hours.  
• State of the Student Body Address by President Jean Tabares was held on September 14  
• Airport Shuttle for $15 at any time during the semester.  
• RezRides provides bus transportation on the weekends to the FSU Reservation.
D. Faculty Senate

*Dr. Todd Adams, Faculty Senate Steering Committee*

Dr. Adams provided an update on behalf of the Faculty Senate Steering Committee:

- Faculty were pleased with the performance based and merit raises
- Faculty are concerned regarding legislation allowing guns on campus and have passed a resolution opposing guns on campus
- Faculty are engaged with the searches for the provost and deans for the colleges of law, engineering and business as well as the strategic planning process

E. Research

*Dr. Gary Ostrander, Vice President for Research*

Dr. Ostrander reported on grant and contract activity for FY-15. FSU faculty and staff received $200,828,249 in grant activity. During FY-15 FSU faculty submitted about 10% more proposals than FY-14 and this resulted in an 8% increase in federal, state, and private grant awards. However, the total dollars flowing from the various agencies remains reduced.

Dr. Ostrander also presented a summary of activity around FSU’s efforts to commercialize our research. The FY15 saw 59 invention disclosures, 27 patents issues and 17 option/license agreements executed. The office generated $497,282 in licensing income and participated in 8 start-up companies based on FSU technology. In addition to describing past efforts he summarized steps taken to reorganize the Office of Commercialization and he discussed new strategies to be employed going forward.

F. Student Affairs

*Dr. Mary Coburn, Vice President for Student Affairs*

Dr. Coburn provided an update on Student Affairs including a new feature on the Undergraduate Academic Program Guide that links every major with specific career information. Additionally, the Career Liaison model had the impact of a 50% increase in internships that have been listed and ProfessioNole, linking students to Alumni, has increased participation levels.

During the fall Career Fair Week we hosted over 200 employers and 4000 students while 80 employers held interviews over the week.
The CARE and Unconquered programs received national accolades through the Chronicle of Higher Education. Furthermore, the program will receive funding of $2.2 million over the next 5 years from the US Department of Education.

Additional external funding has been awarded for:

- Suicide Prevention Coordinator
  - Cross-campus partnership led by Department of Educational Psychology & Learning
  - $306,000 over years from US Department of Health & Human Services

- Sexual Violence Prevention
  - Bystander intervention
  - $125,000 one-year funding with renewal opportunity for ten years from FL Department of Health
  - $10,000 one-year funding from Avon Foundation

- Alcohol Prevention
  - Providing alternative student programming
  - $10,000 one-year funding from MillerCoors

G. Finance, Business & Audit

Mr. Kyle Clark, Vice President for Finance & Administration

Action Item
1. Requesting Authorization for Florida State University Foundation to issue debt for the acquisition of real property in the form of a conventional mortgage for a term of no more than 30 years.

Trustee Pantin moved to approve the Authorization for Florida State University Foundation to issue debt. Trustee Sasser seconded the motion and it was approved unanimously.

Information Item:
Mr. Clark also provided an update on Finance & Administration including the following:
- The Provost Search Committee includes fifteen faculty, two deans, and two vice presidents and two students. Several meetings have occurred including the search firm. The committee expects to have a provost hired by the new academic year.
- The implementation of mandatory criminal background checks for all A&P, USPS and Faculty appointments was effective August 1, 2015
The College of Engineering fiscal agent has been finalized as FSU. They are also going through facility transitions including the reduction of portable classroom usage to permanent structures at the FSU Research Foundation.

Payroll enhancements including faculty salary distribution from a 9-month appointment to 12 months.

Continued process improvements include new software, procurement card reconciliation, new travel system, and new electronic distribution for bidding.

The new budget system has advanced to phase 2

The Public-Private Partnership new guidelines were approved by Board of Governors during September meeting. There are three outstanding public-private partnerships which include the following:

- Convention, Retail, and Entertainment District. The area surrounding the Donald L. Tucker Center which is 30+ acres – attempts of being developed. It is predicted to be the new epicenter of energy and momentum for Tallahassee. The first phase of the project would include full service hotel and convention center. The College of Business would eventually be located there, as well.
- Varsity Way project is gaining traction and waiting for responses from groups.
- Panama City Residence Hall is awaiting second round of questions from responders.

Procurement enhancements for fiscal year of 2015, more than $16.4 million in savings have been identified to leverage through various contracts. Return on investment is more that 12:1.

The transportation masterplan is currently in draft form.

Fleet Management continues to progress in reducing number of service vehicles, installing software and updating policies and procedures. The Enterprise Rent-A-Car location has been opened on campus and is the only location in the country to be on a college campus.

Human Resource ERP upgrades are in progress

New Graduate Assistant payment plan allows graduate assistants to pay out their tuition fees over the course of the semester.

Financial Aid has started a new pilot project to distribute financial aid before the start of the semester.

Transportation and game day management includes additional bus services to be contracted and more than 50 officers have been brought in from additional agencies.

Earth, Ocean and Atmospheric Sciences construction includes the meteorology building being knocked down, replaced with green sod. Hopeful for the funding to break ground on new building on schedule.

University Housing Phase 2 is underway to include two new residence halls and a new dining hall.

Doak Campbell Stadium improvements are underway to include new towers and elevators.
Interdisciplinary Research and Commercialization Building (IRCB) will be built at Innovation Park.

Ringling Campus - Asian Art Study Center has been completed and opened.

College of Business- $83 million project to be built in the arena district.

Strozier Library enhancements consist of many improvements to the upper floor including new furnishings, carpet, paint, ceilings/lighting and mechanical.

H. Academic Affairs

Dr. Sally McRorie, Interim Provost

Information Items

Dr. McRorie provided an update on the University’s academic standings to include:

- Preeminence metrics: 12/12
- Times Higher Education Worldwide Ranking- Tied for #32 among public universities
- Celebrated promotion and/or tenure of 61 faculty colleagues
- Hired over 120 excellent new faculty members
  - 80+ tenured or tenure-earning faculty
  - 30+ teaching faculty
  - 7 research and clinical faculty for Medicine and Magnet Lab
- Deans that are in transition will be completed by the end of the year
  - College of Business
  - College of Law
  - FAMU/FSU College of Engineering
- Student success
  - Almost 100 more Care and Unconquered scholars than before for a total of over 400 students
  - 99% retention from summer to fall semesters
  - Great story in Chronicle of Higher Education
  - FSU federal loan default rate has dropped to 5%, the national default rate for all federal loans is 11.8%, and the overall Florida default rate equals 14.1%
  - Our high school partners program and student ambassadors programs are working well and expanding to schools throughout Florida and beyond
- Future student success will come from a program currently being developed to be housed in College of Medicine
  - Interdisciplinary medical sciences degree development
  - Rigorous science foundation for all
  - Options to include Health Professional, Health Care in Community/Clinical Settings, Health Management, Policy and
Informatics and multiple 1-hour seminars followed by Capstone seminar
- These are not currently available but predicted to be by August 2016
- Undergraduate Research Opportunity program will be offered for students to participate in year-long research colloquium
  - Students will conduct research weekly assisting a faculty member or PhD student, leading to a presentation at an undergraduate research symposium
  - The Council of Undergraduate Research recently named FSU one of the top schools in the country for undergraduate research with more than 25% of undergraduate students conducting research
  - 40+ students received nationally competitive awards in the past year including a Truman Scholar and 10 Fulbright Scholars in 2015
- Think 15 Project is to encourage students to take 15 hours per semester leading to more proven success.

**Update on Title IX Initiatives**

*Ms. Jennifer Broomfield, Director of Title IX*

- Ms. Broomfield has monthly meetings with the General Counsel’s office and weekly with Advocate Programs.
- Major accomplishments in the last quarter include:
  - Community outreach and communication
    - Conducted 22 trainings for students, faculty and staff including community partners
    - Published a rights and resources guide for survivors of sexual and gender based violence
    - Recently finished filming a Guide to Title IX video to be published on the new website and to be shown by orientation leaders during New Student Orientation
    - Planning a Trauma Informed Week at the end of March in preparation Sexual Assault Awareness Month for students, faculty and staff
    - Continue to work with Human Resources to bring online compliance training for faculty and staff and also with the Student Union to create an awareness mobile application
    - Revised Title IX statement has been signed by President Thrasher
    - A new website has been produced that includes an online reporting form
- The goals for the upcoming year are to get a unified sexual misconduct policy for board approval, have it instituted by the end of the spring semester and develop a strategic plan for educating the FSU community about the policy. Other goals are to make sure the office is completely staffed and also to reach out to FAMU and TCC to develop a Tallahassee Title IX Consortium
I. Governmental Relations
Ms. Kathleen Daly, Associate Vice President for Governmental Relations

- The 2016 Legislative Session is scheduled to begin January 12, 2016
- Revenue projections for fiscal year 2016-2017 include approximately $635 million in new revenue
- Anticipating another tax break package from the governor and support by the legislature
- Legislative priorities are set and have been presented to the Board of Trustees
- At this early point in the Legislative Session, state legislators have filed 422 bills, with Governmental Relations tracking 74 of the bills
- FSU Day is scheduled for Tuesday February 2, 2016

J. General Counsel
Ms. Carolyn Egan, General Counsel

- The General Counsel office will review Foundation contracts and donation agreements

**Action Item**
1. Requesting emergency change in Student Conduct Code to make it more narrowly tailored to open carry laws. Emergency change will take place for 90 days if adopted by Board and then would be voted on at a future meeting

  Trustee Buzzett moved to approve the change in Student Conduct Code. Trustee Camps seconded the motion and it was approved unanimously.

VIII. CHAIR’S REPORT
Mr. Ed Burr, Chair

**Action Item**
A. President’s Evaluation & Compensation

Chair Burr reviewed President Thrasher’s annual evaluation. Trustee Pantin moved to approve the Compensation Committee’s recommendation of a $90,000 bonus. Trustee Bense seconded the motion and was approved unanimously.

Trustee Pantin moved to approve the Compensation Committees recommendation of an additional 7.4% salary increase in addition to the 2.6% merit increase for a total of 10%. Trustee Camps seconded the motion and it was approved unanimously.
IX. OPEN FORUM FOR BOARD OF TRUSTEES
Mr. Ed Burr, Chair

The 2016 Board of Trustees meeting schedule was presented. No objections to the proposed schedule.

X. ADJOURNMENT

The meeting was adjourned at 12:50 pm.
FLORIDA STATE UNIVERSITY
BOARD OF TRUSTEES
CONFERENCE CALL MEETING MINUTES

December 18, 2015
10:00 am
Florida State University
222 South Copeland Street
201 Westcott Building
Tallahassee FL

Members Present: Kathryn Ballard, Allan Bense, Ed Burr, Billy Buzzett, Joe Camps, June Duda, Susan Fiorito, Joe Gruters, Mark Hillis, Leslie Pantin, Bob Sasser, Brent Sembler and Jean Tabares*
*Present in 201 Westcott

I. CALL TO ORDER AND WELCOME
Mr. Ed Burr, Chair
Chair Burr called the meeting to order at 10:03 am. Lynna Sands conducted the roll call.

II. PUBLIC COMMENTS
No public comments were provided.

III. PRESIDENT’S COMMENTS
President Thrasher provided an extensive summary of the relationship between Florida State University, Jan Moran and the Jim Moran Institute including the gifts provided by the Moran’s to FSU. Mrs. Jan Moran and The Jim Moran Foundation have donated an additional $100 million to create The Jim Moran School of Entrepreneurship. The gift is the largest in FSU history and will be used to transform entrepreneurial higher education in the state and country.

A. Action Item
1. Requesting Approval for School Naming Opportunity
   Trustee Pantin moved to approve the naming of The Jim Moran School of Entrepreneurship. Trustee Sembler seconded the motion and was approved unanimously.

IV. OPEN FORUM FOR BOARD OF TRUSTEES
Mr. Ed Burr, Chair
Chair Burr announced that the January 8, 2016, Board of Trustees Conference Call would be canceled.

V. ADJOURNMENT
The meeting was adjourned at 10:40 am
TO: President John E. Thrasher
FROM: Provost Sally McRorie
DATE: February 10, 2016
SUBJECT: Report on Academic Calendar
Request for Approval

Board of Governors Regulation 8.001 requires each university to adopt an academic calendar. The calendar includes the appropriate number of days of classroom instruction, the common entry periods, pre-established dates for issuing certificates, diplomas or degrees and a summer program.

The University calendar committee met and approved a new calendar which meets these requirements. This request is to approve the attached academic calendar with the proper adjustments to dates based on the current year academic calendar.
FLORIDA STATE UNIVERSITY
PROPOSED ACADEMIC CALENDAR,
2016 – 2017 (approved)

Calendar adjustments include, counting .5 instructional days for Saturdays, counting Homecoming a .5 instructional day, and canceling classes Wednesday before Thanksgiving.

Fall 2016

<table>
<thead>
<tr>
<th>Month</th>
<th>Number of Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>August—N/A</td>
<td>3</td>
</tr>
<tr>
<td>September—Labor Day-September 5</td>
<td>22.5</td>
</tr>
<tr>
<td>October—half day, Homecoming</td>
<td>22.5</td>
</tr>
<tr>
<td>November—Holidays-November 11, 23, 24, 25</td>
<td>19</td>
</tr>
<tr>
<td>December—N/A</td>
<td>13</td>
</tr>
<tr>
<td>Total</td>
<td>80</td>
</tr>
</tbody>
</table>

Five (5) working days between the end of Fall and start of Winter Break: Monday, Dec. 26 – Monday, Jan. 2

Spring 2017

<table>
<thead>
<tr>
<th>Month</th>
<th>Number of Days</th>
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</thead>
<tbody>
<tr>
<td>January—MLK Day—January 16</td>
<td>17</td>
</tr>
<tr>
<td>February—N/A</td>
<td>22</td>
</tr>
<tr>
<td>March—Spring Break—March 13-17</td>
<td>19</td>
</tr>
<tr>
<td>April—N/A</td>
<td>22.5</td>
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<tr>
<td>May</td>
<td>5</td>
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<tr>
<td>Total</td>
<td>85.5</td>
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</tbody>
</table>

Five (5) working days between semesters

Electronic vote 2/13/16 approved aligning FSU Spring Break with Leon County. Pushes out Spring Break by one week. Date approved updated to reflect new change.
**Summer 2017**

<table>
<thead>
<tr>
<th>Month</th>
<th>Number of Days</th>
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</thead>
<tbody>
<tr>
<td>May— Memorial Day – May 29</td>
<td>12.5</td>
</tr>
<tr>
<td>June—N/A</td>
<td>24</td>
</tr>
<tr>
<td>July — Independence Day, July 4</td>
<td>22.5</td>
</tr>
<tr>
<td>August—N/A</td>
<td>4</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>63</strong></td>
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**Breakdown for Summer Semester**

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<tr>
<th>Sessions</th>
<th>Begin Date</th>
<th>End Date</th>
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<tbody>
<tr>
<td>12 Week (A)</td>
<td>May 15*</td>
<td>August 4</td>
</tr>
<tr>
<td>6 Week (B)</td>
<td>May 15</td>
<td>June 23</td>
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<tr>
<td>6 Week (C)</td>
<td>June 26</td>
<td>August 4</td>
</tr>
<tr>
<td>8 Week (F) (Law)</td>
<td>May 15</td>
<td>July 7</td>
</tr>
</tbody>
</table>

*Total Instructional Days for the Year = 228.5*

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Electronic vote 2/13/16 approved aligning FSU Spring Break with Leon County. Pushes out Spring Break by one week. Date approved updated to reflect new change.
<table>
<thead>
<tr>
<th>2016-17 Academic Year</th>
<th>Summer 2016</th>
<th>Fall 2016</th>
<th>Winter Break</th>
<th>Spring 2017</th>
<th>Summer Clinical Practicum</th>
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<tbody>
<tr>
<td><strong>Class of 2020</strong></td>
<td></td>
<td></td>
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<tr>
<td>1st year</td>
<td></td>
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<tr>
<td>cohort M1</td>
<td>05/31/16</td>
<td>08/22/16</td>
<td>12/26 through</td>
<td>01/03/17 through</td>
<td>Session 1</td>
</tr>
<tr>
<td></td>
<td>through</td>
<td>through</td>
<td>01/02/17</td>
<td>through</td>
<td>05/08/17 through</td>
</tr>
<tr>
<td></td>
<td>08/12/16</td>
<td>12/23/15</td>
<td>Thanksgiving Break</td>
<td>05/05/17 through</td>
<td>05/29/17 through</td>
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<tr>
<td></td>
<td>Orientation</td>
<td>Thanksgiving Break</td>
<td>11/24 - 11/25</td>
<td>Spring Break</td>
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<td>3/6 - 3/10</td>
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<td>01/03/17 through</td>
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*FSU College of Medicine*

*2016-2017 Academic Calendar*

*Final, as of January 15, 2016*
MEMORANDUM

TO: John Thrasher, President
FROM: Kyle Clark, Vice President of Finance & Administration
DATE: February 16, 2016

SUBJECT: Request Approval of Amendment to Regulation FSU-4.001 General Human Resource Policies

The proposed amendment revises the definition of nepotism in the regulation prohibiting any subordinate-supervisor relationship between relatives as further defined in university policy. The more detailed definitions of prohibited employment relationships are, therefore, further defined in policy which itself goes through a formal notice and approval process within the university.

I recommend your approval of this request.

KC/rg

Attachment

Approved

Equal Opportunity, Employment, Child Labor and Nepotism.

(1) Equal Opportunity. The Florida State University is committed to providing equal employment opportunity and nondiscrimination towards applicants and employees with respect to race, creed, color, sex, religion, national origin, age, disability, veterans' or marital status, sexual orientation, gender identity, gender expression, or any other protected group status consistent with Federal and State law. This commitment applies in all areas employing students, and all University personnel. It is also relevant to those aspects of the University concerned with the choice of contractors, suppliers of goods and services, and to the use of University facilities. The determination of the best qualified individual for employment and promotion purposes is to be based on the individual's education, training, skills, and work experience. Discrimination against any individual because of race, creed, color, sex, religion, national origin, age, disability, veterans' or marital status, sexual orientation, gender identity, gender expression, or any other protected group status is expressly forbidden.

(2) Employment. This regulation rule prescribes Human Resources policies for Florida State University Administrative and Professional employees (A&P), University Support Personnel System employees (USPS), and Other Personal Services (OPS) employees, unless otherwise exempted from these regulations rules or inconsistent with an applicable collective bargaining agreement. These rules shall have University-wide application by authority granted to the Board of Trustees (Board) in Section 1001.74(19), F.S.

(a) Human Resources Programs.

1. The University President, as the Chief Administrative Officer for the University, shall be responsible and accountable for administering the human resources programs for the University. The word “University” includes the Board of Trustees and the word “Chief Administrative Officer” includes the President or lawful designee.

2. The Chief Administrative Officer shall establish and maintain all policies, procedures, and records which are necessary to substantiate compliance with all laws, regulations and rules relating to employment.

3. The University will administer a classification and compensation plan.

(b) University employees are those persons who are lawfully employed by the designated hiring authority, receive financial compensation to perform services for the University, and whose work is directed by the University. The term “employee” does not include volunteers or independent contractors. University employment consists of the following defined categories:

1. A&P: positions assigned administrative and management responsibilities or professional duties at the department/unit, or above. Employees in A&P positions designated in the Executive Service serve at the will of the Chief Administrative Officer, do not have tenure, and have no expectation of appointment beyond a 60 day notice period. Executive Service positions report directly to the Chief Administrative Officer or designee.

2. USPS: positions assigned professional, paraprofessional, administrative, clerical, secretarial, technical, skilled crafts, service, or maintenance duties.

3. OPS: at-will, temporary employment.

(3) Child Labor. The University must comply with the provisions of the Florida Child Labor Law, Chapter 450, F.S., Part I, in the appointment and employment of minors.
(4) Nepotism.
(a) Employment of related persons in a single organization unit or in work-related organizational units is permitted, provided that such employment of A&P or USPS employees will not involve a conflict of interest, including but not limited to participation by the related person in making recommendations or decisions specifically affecting the appointment, retention, tenure, work assignments, evaluation, promotion, demotion, or salary of the related person. The President or designee responsible for the unit in which the relative will work shall determine and document in writing prior to employment of related persons, that a conflict of interest will not occur. Such documentation shall be forwarded to the Assistant Vice President of Human Resources or Designee for approval prior to appointment.
(b) “Related persons” are those related to each other in one of the following ways: husband, wife, parent, child, brother, sister, spouse of a child, brother, or sister, or parents, child, brother or sister of spouse—individuals that will result in a subordinate-supervisor relationship between relatives is prohibited, unless a specific exemption is requested and approved, in accordance with the Florida State University Employment of Relatives (Nepotism) Policy. See 4-OP-C-7-L Employment of Relatives (Nepotism) Policy
(5) Non-Citizens. Before they can be considered for employment, non-citizens must possess sufficient documentation which permits gainful employment in the United States as determined by the United States Immigration and Naturalization Service.

Specific Authority BOG Regulation 1.001(3) (j). BOG Reg. Procedure July 21, 2005 Law Implemented 1001.74(5) FS. History—New 9-30-75, Formerly 6C2-4.01, Amended 9-24-98, 4-16-03. Technical Change 1-2014, Revised list of protected categories to conform to BOT Non Discrimination Statement of 6-25-2010
MEMORANDUM

TO: President John Thrasher

FROM: Carolyn Egan, General Counsel

DATE: February 16, 2016

SUBJECT: Final Approval after Notice-- Amendment to Regulation, FSU-3.004 Student Conduct Code and FSU-3.0041 Student Organization Conduct Code

On October 9, 2015, the Board approved Emergency Regulations changing the referenced Student Conduct Codes, effective immediately, but which only extend for 90 days. These changes were made to conform to court decisions regarding weapons stored in vehicles. These same changes to the permanent Regulation are now ready for final approval after the required public notice.

Recommend Approval

____________________________
President
FSU-3.004 Student Conduct Code

(1) General Provisions and Hearing Procedures.

***

(e) Violations. The following violations, or the aiding, abetting, conspiring, soliciting, inciting of, or attempting to commit these violations, constitute violations of the Student Conduct Code.

1. – 5. No Change.


a. On-campus possession or use of firearms, antique firearms, explosives, destructive devices, or other weapons or dangerous articles or substances, including but not limited to non-lethal weapons such as pellet guns, bb guns, paintball markers, slingshots, crossbows, stun guns, Tasers, metallic knuckles, archery equipment, swords, sword canes, ornamental or decorative swords/daggers/knives, or any dangerous chemical or biological agent. Note: This section does not apply to:

(i) any law enforcement officer who is a student or to any student ROTC member acting under the supervision of an ROTC unit in a manner proscribed by military regulations of the United States Government; or

(ii) any student whose possession of a weapon as described above is approved by the FSU Police Department for a bona fide educational purpose; or

(iii) a concealed firearm kept for lawful purposes with or without a license by persons 18 years or older within the interior of a private vehicle, provided that such firearm is not carried on
the person and provided that a handgun must be kept securely encased; or otherwise not readily accessible for immediate use; or

(iv.) a student who possesses a concealed weapon or firearm license and is in possession of a stun gun or non-lethal electric weapon or device designed solely for defensive purposes and which weapon does not fire a dart or projectile as provided in Section 790.06(12)(a)13., Florida Statutes.

b. Off-campus, unlawful or unauthorized possession or use of firearms, explosives, or other weapons or dangerous articles or substances in violation of state or federal law.

c. This section is authorized by Section 790.115, Florida Statutes. In accordance with Section 790.33, Florida Statutes, nothing in this section is intended to prohibit or regulate the lawful possession of a weapon or firearm as defined in Section 790.001, Florida Statutes, except as permitted by law.

7. - 16. No Change

(f) - (h) No Change

(2) - (5) No Change

Specific Authority BOG Regulations 1.001(3) (a), (j), and (4) (a), 6.0105. Law Implemented 1011.48 FS History--New 9-30-75, Formerly FSU-3.04, Amended 9-4-86, 3-20-88, 7-18-96, 7-20-99, 11-13-00, 5-9-2007, Substantially Rewritten, 6-9-2012. Amended__________
FSU-30041 Student Organization Conduct Code

(1) General Provisions and Hearing Procedures.

***

(f) Violations. The following violations, or the aiding, abetting, conspiring, soliciting, inciting of, or attempting to commit these violations, constitute violations of the Student Organization Conduct Code.

1. - 5. No Change


   a. On-campus possession or use of firearms, antique firearms, explosives, destructive devices, or other weapons or dangerous articles or substances, including but not limited to non-lethal weapons such as pellet guns, bb guns, paintball markers, slingshots, crossbows, stun guns, Tasers, metallic knuckles, archery equipment, swords, sword canes, ornamental or decorative swords/daggers/knives, or any dangerous chemical or biological agent. Note: This section shall not apply to:

   (i) any law enforcement officer who is a student or to any student ROTC member acting under the supervision of an ROTC unit in a manner proscribed by military regulations of the United States Government; or

   (ii) any student whose possession of a weapon as described above is approved by the FSU Police Department for a bona fide educational purpose; or

   (iii) a concealed firearm kept for lawful purposes with or without a license by persons 18 years or older within the interior of a private vehicle, provided that such firearm is not carried
on the person and provided that a handgun must be kept securely encased; or otherwise not readily accessible for immediate use; or

(iv) a student who possesses a concealed weapon or firearm license and is in possession of a stun gun or non-lethal electric weapon or device designed solely for defensive purposes and which weapon does not fire a dart or projectile as provided in Section 790.06(12)(a)13., Florida Statutes.

b. Off-campus, unlawful or unauthorized possession or use of firearms, explosives, or other weapons or dangerous articles or substances in violation of state or federal law.

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7. – 16. No Change

(g) - (h) No Change

(2) – (5) No Change

Specific Authority BOG Regulations 1.001(3) (a), (j), and (4) (a), 6.0105. Law Implemented 1011.48 FS History— New 6-8-12, Amended
TO: Sally McRorie, Ph.D  
Provost & Executive Vice President for Academic Affairs

FROM: Carolyn Egan  
General Counsel

Re: Consent Agenda Item – Amendment and Renewal of FSU Schools Charter

Date: January 26, 2016

Attached is a consent agenda item for the President’s approval for the FSU Board of Trustees Meeting scheduled for March 4, 2006. The item is the amendment and renewal of the FSU Schools Charter for a period of 15 years, commencing on July 1, 2016 and ending on June 30, 2031.

The Amendment and Renewal of the FSU Schools Charter was fully coordinated with Dean Marcy Driscoll, FSU College of Education, as well as Dr. Bob Bradley, a former member of the FSUS, Inc. Board. Deputy General Counsel Mike Cramer handled the matter for our office.

The item provides that upon approval by the BOT, President Thrasher will execute the Charter on behalf of the Board. Mike Cramer has the original document, which has been executed by the FSUS, Inc. Board Chair, and he will coordinate execution of the Charter by President Thrasher.
TO:  President John E. Thrasher  
FROM: Provost Sally McRorie  
DATE: January 29, 2016  
SUBJECT: Renewal of Charter Agreement for Florida State University Charter Lab School Request for Approval

The Florida State University Schools, Inc., a Florida not-for-profit corporation (FSUS Inc.) requests renewal and amendment of Charter Agreement with the Florida State University Board of Trustees, successor to the Florida Board of Regents, acting for and on behalf of Florida State University ("FSU"), a university in the State of Florida University System and the sponsoring entity, for the purposes of maintaining a developmental research charter school ("DRCS"). Pursuant to section 1002.33(5), Florida Statutes, FSUS, Inc. operates the FSU School, a developmental research school ("DRS") established pursuant to section 1002.32, Florida Statutes. Also, pursuant to section 1011.24, Florida Statutes, the DRS is a special school district for the purposes set forth therein.

The Florida Board of Regents, now defunct, approved the original concept of a charter DRS school in 2000, and the original charter agreement with FSUS, Inc. became effective on August 22, 2000. Under its terms, the original charter agreement will end on June 30, 2016. The original charter agreement specifically provides for a renewal of the charter agreement for an additional 15-year term, which will end on June 30, 2031.

Pursuant to section 1002.33(5)(a)2, Florida Statutes, FSU Board of Trustees, as the successor to the Florida Board of Regents, would issue this renewal and amendment of Charter Agreement to FSUS, Inc. with the express intent of preserving rights and obligations reserved for the DRS in all applicable statutes. FSU shall continue to support FSUS, Inc. consistent with its historical practice and in accordance with those DRS requirements necessary to insure continuation of the mission of, and the receipt of funding from all funding sources available by law to, DRS schools, including serving as FSUS’s fiscal agent.

By approval of the Renewal of the Charter Agreement, the FSU Board of Trustees authorizes the President to execute the Agreement on its behalf.

Approved: _______________________________ Date: _______________________________
John E. Thrasher, President
Renewal and Amendment of Charter between the Florida State University Board of Trustees, acting for and on behalf of the Florida State University and The Florida State University Schools, Inc.

This renewal and amendment of Charter between the sponsoring entity, Florida State University Board of Trustees, successor to the Florida Board of Regents, acting for and on behalf of Florida State University ("FSU"), a university in the State of Florida University System, and The Florida State University Schools, Inc., a Florida not-for-profit corporation (FSUS Inc.), is entered into for the purposes of maintaining a developmental research charter school ("DRS") pursuant to section 1002.33(5), Florida Statutes. FSU operates the FSU School, a developmental research school ("DRS") established pursuant to section 1002.32, Florida Statutes. Pursuant to section 1011.24, Florida Statutes, the DRS is a special school district for the purposes therein set forth. Pursuant to section 1002.33(5)(a)2, Florida Statutes, FSU is issuing this Charter to FSUS Inc. with the express intent of preserving rights and obligations reserved for the DRS in all applicable statutes. FSU shall continue to support FSUS Inc. consistent with its historical practice and in accordance with those DRS requirements necessary to insure continuation of the mission of, and the receipt of funding from all funding sources available by law to, DRS schools.

FSUS Inc. shall operate a grades K-12 DRS regional school of choice, providing a venue for educational research, curriculum innovation, educator development, and statewide reform efforts. FSUS Inc. shall also promote excellent instruction for its students and advance its continuing service mission.

It is the intent of the parties that this agreement is subject to the provisions of Section 1002.33, Florida Statutes, and shall constitute the renewal and amendment of the Charter. Any reference herein to a particular section of the Florida Statutes shall be considered to mean as amended.
ARTICLE I – GENERAL PROVISIONS

1.01 Term and Effective Date: This renewal and amendment of Charter shall cover a term of approximately fifteen (15) years, ending on June 30, 2031.

1.02 Effective Date: This renewal and amendment of Charter shall be effective on July 1, 2015.

1.03 Charter Renewal: This Charter may be extended or renewed by mutual written agreement of FSU and FSUS Inc. to the extent authorized by law. If none of the events described in Section 1.05 hereof has occurred, and FSUS Inc. has been operating the DRCS, and during such time FSUS Inc. has demonstrated exemplary academic programming and fiscal management, it is the express intent of FSU and FSUS Inc. that this Charter shall, at such time, be renewed for an additional 15-year period, ending on June 30, 2045.

1.04 Charter Modification: This Charter may be modified or amended during the renewal term by mutual agreement of FSU and FSUS Inc., provided that such agreement is in writing and duly executed.

1.05 Non-renewal: At the end of the term of this Charter, FSU may choose not to renew this Charter upon any of the following grounds:

1.05.1 Failure to meet the requirements for student performance as stated in this Charter;

1.05.2 Failure to meet generally accepted standards of fiscal management;

1.05.3 Violation of law; or

1.05.4 Other good cause shown.

1.06 Emergency Termination: This Charter may be terminated immediately by FSU if FSU determines that good cause has been shown, or if the health, safety, or welfare of the students is threatened. In such event, FSU shall assume operation of the DRCS.

1.07 Termination of Charter: During the term of this Charter, FSU may terminate this Charter for any of the grounds listed in Section 1.05 of this Article.

1.08 Notice of Non-renewal or Termination by FSU: If FSU intends not to extend, not to renew, or to terminate this Charter, it shall notify the governing body of FSUS Inc. of its proposed action in writing at least 360 days prior to such action. The notice shall state in reasonable detail the grounds for the proposed action and shall stipulate that the governing body of FSUS Inc. may, within 14 business days of receiving the notice, request in writing an informal hearing before FSU. If such hearing is requested, FSU shall conduct the informal hearing within 30 days of receiving such request. If, as a result of the informal hearing, FSU upholds its previous decision not to extend, not to renew, or to terminate this Charter, the governing body of FSUS Inc. shall have 14 business days from its receipt of the decision of FSU in which to submit in writing an appeal of that decision to the State Board of Education pursuant to the procedure established in section 1002.33(6), Florida Statutes, except in case of emergency termination as provided in Section 1.06 of this Article.

1.09 Notice of Non-renewal by FSUS Inc.: If FSUS Inc. desires that this Charter not be extended or renewed upon its expiration, it shall notify FSU in writing at least 360 days prior to the expiration of this Charter of the desire of FSUS Inc. that this Charter not be extended or renewed.
1.10 **Dissolution of School:** If this Charter expires and is not extended, not renewed, or is terminated, the DRCS shall be dissolved under the provisions of law under which the DRCS was organized, and any unencumbered funds from the DRCS shall revert to FSU. It is the express intent of the parties that in the event the Charter period ends without an extension or renewal having been concluded by the parties, the Charter shall continue in full force and effect until such time as the parties execute a formal extension or renewal of the Charter.

1.11 **School's Debts:** If this Charter expires and is not extended, not renewed, or is terminated, the remaining debts of FSUS Inc., if any, shall be paid in accordance with Section 1002.33(8)(f), Florida Statutes, and other applicable provisions of law. FSU shall not assume the debt arising from any contract for services made between the governing body of FSUS Inc. and a third party, except for a debt for which FSU and the governing body of FSUS Inc. have previously agreed in writing would be paid by FSU.

1.12 **Enrollment of Students Following Charter Non-extension, Non-renewal, or Termination:** If this Charter expires and is not extended, not renewed, or is terminated, a student who then attends the DRCS may re-enter a public school in accordance with the student's Individual Education Plan ("IEP") and federal and state law pertaining to exceptional student education.

1.13 **Statutory Requirements:** FSUS Inc. and FSU shall comply with the provisions of Section 1002.33, Florida Statutes, relating to charter schools. FSUS Inc. shall comply with Chapter 119, Florida Statutes, relating to public records, and Section 286.011, Florida Statutes, relating to public meetings, as well as all applicable federal, state, and local laws, including but not limited to those relating to health, safety, welfare, and civil rights.

1.14 **Annual Report:** FSUS Inc. shall make an annual progress report to the FSU President or designee, which, upon verification, shall be forwarded to the Commissioner of Education at the same time as any other annual school accountability report is required. The report shall contain at least the following information:

1.14.1 The progress of FSUS Inc. toward achieving the goals outlined in this Charter.

1.14.2 The information required in the annual school report pursuant to Section 1002.33(9)(k), Florida Statutes.

1.14.3 Financial records of FSUS Inc., including revenues and expenditures.

1.14.4 Salary and benefit levels of the employees of FSUS Inc.

1.15 **Governance Structure of FSUS Inc.:** FSUS Inc., as operator of the DRCS, is organized as a Florida corporation not-for-profit and has elected to be a public employer. Personnel who were employed at the DRCS shall be employees of FSU and FSUS Inc. ("Joint Employers").
ARTICLE II – ACADEMIC ACCOUNTABILITY

2.01 FSUS Inc. shall implement its mission and related educational programs as specified in Appendix A hereto.

2.02 FSUS Inc. shall implement the current baseline standard of achievement, the outcomes to be achieved, and the methods of measurement identified in Appendix A.

2.03 The parties agree that methods used to identify the educational strengths and needs of students and their educational goals and performance standards are set forth in Appendix A. Students attending the DRCS shall participate in the statewide assessment programs at least to the extent required by law or rule.

2.04 The School’s programs and operations shall be nonsectarian.
ARTICLE III – STUDENTS

3.01 Community: The parties agree that the community to be served by this Charter is defined as students in grades K-12 who may reside in the following Florida counties: Franklin, Gadsden, Jefferson, Leon, Liberty, Madison, Taylor, and Wakulla, as well as foreign exchange or other special population students.

3.02 Equity: The DRCS shall comply with the anti-discrimination provisions of state or federal law. Notwithstanding Section 1000.5, Florida Statutes (The Florida Educational Equity Act), the DRCS shall adhere to the demographic grouping requirements of Section 1002.32(4), Florida Statutes with respect to student admissions.

3.03 Exceptional Student Education: As with other students in other public schools, if it is determined by staff of FSUS Inc. at an IEP meeting that the needs of a student with disabilities cannot be met by the DRCS, that student shall be withdrawn from the DRCS to be re-enrolled at a public school having appropriate programs and services.

3.04 Nonsectarian Admissions Policies: The DRCS admissions policies shall be nonsectarian.

3.05 Enrollment Process: The DRCS shall enroll any eligible student for whom a timely application is submitted within the constraints of demographic representation as defined in law, rule, regulation, or policy, unless the number of applications exceeds the capacity of a demographic grouping, program, class, grade level, or building. The maximum number of students to be accommodated by the DRCS is 1700 students with approximate distribution by grade grouping as follows:

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<td>6-8</td>
<td>510</td>
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<tr>
<td>9-12</td>
<td>680</td>
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In the event that the number of applications exceeds such capacity, all eligible applicants shall have an equal chance of being admitted through a random selection process that complies with the selection procedures mandated by all applicable law, rule, regulation, or policy relating to a DRS or a DRCS. As provided in Attachment B hereto, the DRCS shall maintain a cumulative total of 500 Southwood residents as DRCS students each year. Provided further, however, upon request of FSUS, Inc., FSU may authorize in writing an increase in the capacity of the DRCS not to exceed 100 students on a temporary basis not to exceed one year, subject to the terms and conditions for same as provided in Appendix B.

DRCS admission preference shall also be extended to eligible siblings of students enrolled in the DRCS, in accordance with admissions guidelines, to children of employees of the DRCS and FSUS Inc., and to children of validated alumni of the FSU School or the DRCS, and to students recommended by the FSU President, when such admission is deemed by the President to serve the mission and purposes of the University. Applicants who are not invited to enroll as a result of the random selection process shall be placed on a waiting list, in the order of their random selection, and shall remain on such waiting list for subsequent grade levels for the school year until they are enrolled in the school, unless their parents have them removed from the waiting list, or if no appropriate openings occur.
3.06 **Health and Immunization:** Enrollment is subject to the provisions of state law concerning school entry health examinations and immunizations.

3.07 **Withdrawal of Invitation to Attend DRCS:** The withdrawal of invitation to attend the DRCS presented to any student shall occur in accordance with the policies and procedures described in the DRCS Code of Student Conduct, or for failure to pay fees established pursuant to Section 1002.32(5), Florida Statutes. See also Section 4.03.1 below.
ARTICLE IV – FINANCIAL ACCOUNTABILITY

4.01 Operational Funding:

4.01.1 Operating Revenue: The DRCS shall be operationally funded pursuant to state law and other applicable sections of law. The basis of the operational funding shall be the sum of the DRS operating funds from the Florida Education Finance Program (FEFP) as provided in state law. See Section 1011.62, Florida Statutes, the General Appropriations Act, and all applicable categorical funds, grants, and other funds.

FSU shall receive the operating funds from the Florida Department of Education or other state agency as appropriate and within ten (10) days of receipt transfer the total operating funds received to FSUS Inc. for uses authorized by law, rule, or policy.

The DRCS, through FSUS Inc., shall be responsible for collecting and reporting data necessary to project, receive, and account for state and other funds, utilizing generally accepted accounting principles and practices. FSUS Inc. shall develop and administer such policies and procedures as are necessary to ensure compliance with applicable law.

4.01.2 Internal Revenue: FSUS Inc. may collect and disburse such internal fund and fees, including, but not limited to the student activity fee as prescribed by law, rule, regulation, or policy. FSUS Inc. shall provide a list of all fees to FSU as the fiscal agent. FSUS Inc. will administer policies and procedures necessary to ensure compliance with law, rule, and policy, and shall utilize generally accepted accounting principles and practices.

4.02 Capital Funding:

4.02.1 Capital Revenue: The DRCS shall be entitled to at least two types of capital revenue based on number and grade groupings of attending students as described in Section 1002.33 Florida Statutes, as amended: (1) DRS capital funds pursuant to Section 1002.32, Florida Statutes, and (2) charter schools capital outlay funds pursuant to Section 1013.62, Florida Statutes. These funds may be supplemented, but not supplanted, by donations, grants, and other financial sources.

FSU shall receive the charter capital funds and applicable DRS capital funds from the DOE or Florida State University Board of Trustees, as appropriate, and within ten (10) days of receipt shall transfer the total capital funds received to FSUS Inc., or its assignee as required by any capital financing arrangement, to service debt, remodel, renovate, or construct facilities as prescribed in applicable law, rule, or policy.

4.02.2 Property Development: It is anticipated that the capital revenue funds shall be provided to FSUS Inc., in part to service the debt incurred to construct the school facility and improvements to the school facility. If the amount of capital funding received exceeds that which is required to provide for debt service, FSUS Inc. may utilize the funds to provide additional facilities for the DRCS, make capital improvements to the existing plant, or enter into joint post-secondary use or other collaborative agreements for the enhancement or extension of public education, including but not limited to the type of agreement contemplated by Section 1013.52, Florida Statutes.
4.02.3 **Facilities Ownership:** At such time that all debt service and related obligations have been satisfied, the school facilities will be owned by FSUS Inc. on behalf of the DRCS. FSUS Inc. shall have the right to possess such property for its operation during the term of this Charter, but shall allow other organizations appropriate usage when practically available as determined by policy of FSUS Inc. Provided further, however, that any such users of the facilities shall be responsible for the reasonable costs of operation, maintenance, security, damage, depreciation, and insurance coverage associated with such use and as provided by policy of FSUS Inc.

4.02.4 **Maintenance of School Plant and Facilities:** As owner of the school facility and operator of the DRCS, FSUS Inc. shall be responsible for structural repairs and maintenance of the exterior portions of the building, for permanent improvements and appurtenances, including but not limited to roofs, water and sewer pipes, heating, ventilation and air conditioning equipment. FSUS Inc. shall be further responsible for repair and maintenance of telecommunications equipment, minor interior furnishings, and fixtures. FSUS Inc. shall be financially responsible for cleaning the buildings and grounds, replacing worn out or broken items, as well as for janitorial supplies and consumable supplies. FSUS Inc. may contract with FSU, other public entities, or private firms to perform any of the DRCS maintenance obligations for such compensation as is mutually agreeable to the parties to any such contract.

4.02.5 **Reverter:** In the event FSUS Inc. is dissolved or is otherwise terminated, all of its property and improvements, furnishings, and equipment purchased with public funds shall automatically revert to and become the property of FSU, subject to any lien or encumbrance on such property in favor of any capital or other debt obligation of FSUS Inc. being satisfied. In the event that any capital obligation remain to be satisfied, FSU shall have first option to satisfy such capital obligation, but neither FSU nor the State shall be responsible for such capital obligation incurred by FSUS Inc.

4.03 **Administration and Management:**

4.03.1 **Fees:** FSUS Inc. may charge fees in accordance with Section 1002.32(5) Florida Statutes, other applicable laws, rules, regulations, and lawful policies established by FSUS Inc.

4.03.2 **Disbursements:** FSU shall make certain that FSUS Inc. receives timely disbursements. Each payment shall be issued no later than 10 business days after FSU receives a distribution of applicable federal or state funds. If a warrant for payment of a scheduled disbursement is not issued within 10 business days after the receipt of funding by FSU, FSU shall pay to FSUS Inc., in addition to the amount of the scheduled disbursement, interest at a rate of one percent (1%) per month calculated on a daily basis on the unpaid balance from the expiration of the required payment period until such time as the warrant is issued.

4.03.3 **Payroll:** The total payroll costs to FSUS Inc. associated with contracting employees such as administrators, faculty, and staff (including but not limited to salaries, benefits, FICA, and Medicare) employed by FSU shall be calculated each month and paid using FEFP funds or appropriate federal funds.

4.03.4 **Services provided by FSU:** FSU may charge FSUS Inc. for additional services, provided, however, that FSU and FSUS Inc. enter into a written memorandum of agreement (MOA) with each FSU
service area provider prior to FSU rendering such services that FSUS Inc. shall be so charged. All charges to be paid to FSU by FSUS Inc. shall be paid by FSU submitting monthly invoices to FSUS Inc.

4.03.5 Services provided by FSUS Inc.: FSUS Inc. may charge FSU for costs related to FSUS Inc. providing services for special purposes or for housing FSU employees who are not employees of FSUS Inc., provided, however, that FSU and FSUS Inc. agree in writing prior to FSUS Inc. rendering such services that FSU shall be so charged. All charges to be paid to FSUS Inc. by FSU shall be paid by FSUS Inc. submitting monthly invoices to FSU.

4.03.6 Audits: FSUS Inc. agrees to submit to annual audits in compliance with federal, state, and school district regulations showing all revenues received from all sources and all direct expenditures for services rendered. The audit shall be conducted by FSU, by an independent auditor, or by the Auditor General. FSUS Inc. further agrees to provide FSU with a copy of such audit and the corresponding response to its findings. FSU reserves the right to perform additional audits as part of FSU’s financial monitoring responsibilities as FSU deems necessary. FSU shall notify FSUS Inc. of this procedure in a timely manner consistent with the notification given to other FSU units.

4.03.7 Monitoring: Pursuant to Florida law requiring FSU to monitor FSUS Inc. in its progress towards the goals established in this Charter, and to monitor the revenues and expenditures of FSUS Inc., the parties agree that such monitoring will occur at FSU’s expense on an annual basis.

4.04 Insurance: Recognizing that members of the staff of the DRCS, as contracted FSU employees, are protected by the immunities of Section 768.28, Florida Statutes, FSUS Inc. shall carry and provide proof of insurance for the following levels of coverage, which may be contracted for with FSU, with the State, or with private providers as necessary:

4.04.1 General liability insurance with coverage limits as are appropriate considering the limitations established in Section 768.28, Florida Statutes, and excess liability insurance;

4.04.2 Worker’s compensation insurance in the amounts required by state law and rule;

4.04.3 Fire, casualty, and theft insurance coverage for the personal property of FSUS Inc., if applicable; and

4.04.4 Fidelity/Dishonesty insurance with a coverage limit of at least $50,000.

4.05 Food Service: FSUS Inc. may contract with FSU or with private firms for the provision of food services for students under terms and conditions that are mutually agreeable to both FSU and FSUS Inc.

4.06 Security: FSU shall provide a School Resource Officer and other security support upon the same terms and with the same costs and terms pursuant to which FSU provides such services to other operational or business units of FSU.

4.07 Surplus: FSU shall provide notification and first right of refusal to FSUS Inc. for surplus furniture, equipment, software, materials, or other items, and shall notify FSUS Inc. prior to making them available to non-FSU agencies or disposing of them in another manner.

4.08 Use of names: FSUS Inc. may continue to use the term “Seminoles,” “Noles,” “Lady Noles,” and “Lady Seminoles,” as well as non-licensed seals and symbols, in the traditional manner in which they are used by FSUS Inc. on the day prior to the last date hereinafter stated upon which a party to this Charter executes it. The names “Florida State University School,” “Florida State University Charter School,” and “Florida High” shall be reserved by FSU for the exclusive use of FSUS Inc.
4.09 **Other Services:** FSUS Inc. may contract or enter into a written memorandum of agreement with FSU for the provision of other services, facilities, or programs to the extent that the FSU is willing to do so.
ARTICLE V – HUMAN RESOURCES

5.01 Employment: FSUS Inc. and FSU shall be joint employers of DRCS administrators, faculty, and staff subject to all terms and conditions provided by law, rule, or policy, and any applicable collective bargaining agreements. It is acknowledged herein that the terms and conditions of employment may vary between the FSU and FSUS Inc. and, to the extent a conflict arises, FSU, Inc. and FSU will, in good faith, work to resolve the conflict.

5.01.1 Nonsectarian employment policies: FSUS Inc. agrees that its employment policies and practices shall be nonsectarian.

5.01.2 Qualifications: The teachers assigned to the DRCS shall be certified as required by state law. 5.01.3 Suspension or revocation: FSUS Inc. may not employ an individual to provide instructional services or to serve as a teaching assistant if the individual’s certification or license as an educator has been suspended or revoked in this State or in any other state.

5.01.4 Disclosure: FSUS Inc. agrees to disclose to the parents the qualifications of its teachers upon request.

5.01.5 Employment practices and procedures: FSUS Inc. shall implement the practices and procedures for hiring, dismissal, salaries, contracts, benefit packages, and all other terms and conditions of employment required by law, rule, policy, and any applicable collective bargaining agreement.

5.01.6 Fingerprinting: All administrators, faculty, and staff employed by or assigned to FSUS Inc. are required to comply with the fingerprinting requirements and background checks in accordance with state law, as well as FSU regulations and policies to extent applicable.

5.01.7 Anti-discrimination: FSUS Inc. shall not violate the anti-discrimination provisions of state or federal law.

5.01.8 Sick leave pool: The employees of FSUS Inc. will have access to any sick leave pool so long as they meet applicable FSU qualifications for same. The employees of FSUS Inc., so long as they meet applicable FSU qualifications for same, will accrue other applicable and appropriate benefits of FSU employees.

5.01.9 Establishment of Positions: FSUS Inc. hereby reserves the right to establish such additional positions as it deems necessary. FSUS Inc. shall establish a payroll process for these positions. Qualifications and salaries for these positions shall be determined by FSUS Inc.

5.02 Contracted Staffing: FSUS Inc. may contract or enter into a memorandum of agreement with FSU, or with any other public or private entity, for such managerial, instructional, security (beyond that provided in Section 4.06 above), support, or other services as it deems necessary.

5.03 Collective Bargaining: The employees of FSUS Inc. and FSU shall have the right to bargain collectively as public employees as provided by law and any applicable collective bargaining agreement.

5.04 Training: The DRCS teachers may participate in training conducted by FSU, and FSU faculty and staff may participate in training conducted by FSUS Inc. New teachers who are assigned to or employed
by FSUS Inc. may participate in the FSU’s Orientation Program at no charge for those contracted through FSU.

WHEREFORE the parties have executed this agreement on the dates indicated below:

FLORIDA STATE UNIVERSITY SCHOOLS, INC.
By: Robert L. Bedford
Board Chairman
Date: December 3, 2015
Attest: Jon Wayle

FLORIDA STATE UNIVERSITY
By: __________________________
President
Date: _______________________
Attest: ________________________
APPENDIX A

CHARTER GOALS

I. INSTRUCTION

A. State Tests: The DRCS will, in future years, strive to improve test scores as measured by the state or national tests using the current trends as a baseline, realizing the variables inherent in an admissions process dependent on student demographic representation.

B. Innovative Curriculum: The DRCS will continue to introduce innovative curriculum models and report results on student performance.

II. RESEARCH AND DEVELOPMENT

A. University/DRCS Collaboration: The DRCS will collaborate in FSU's research agenda with an emphasis on continued increases in grant funding and enhancements in educational research and teacher preparation.

III. SERVICE

A. Presentations, Articles, and Training: The faculty, staff, and administrators of the DRCS will provide presentations, articles, and training as documented in the FSUS Research and Grant Activity Reports.

B. Leadership and Support: The DRCS will extend services to the community, state, and nation in a variety of leadership and support roles.
APPENDIX B

AMENDED AND RESTATED FLORIDA STATE UNIVERSITY DEVELOPMENT RESEARCH CHARTER SCHOOL STUDENT RESERVATION AGREEMENT

WHEREAS, FLORIDA STATE UNIVERSITY SCHOOLS, INC. ("FSUS Inc.") and THE ST. JOE COMPANY ("St. Joe") entered into that certain Florida State University Development Research Charter School Student Reservation Agreement on August 24, 2000 (the "Agreement"); and

WHEREAS, the parties in performing their obligations under the Agreement have determined that certain provisions of the Agreement require modification; and

NOW THEREFORE, the parties hereby, on this 8th day of December, 2015, amend and restate the Agreement as follows:

I. Preamble. FLORIDA STATE UNIVERSITY SCHOOLS, INC. ("FSUS Inc."), a Florida corporation not for profit, has been granted a Charter by the Florida State University to operate a developmental research charter school ("DRCS") pursuant to Section 1002.32(2), Florida Statutes. THE ST. JOE COMPANY ("St. Joe"), a Florida corporation, is the developer of a residential community in Leon County, Florida, known as Southwood ("Southwood").

FSUS Inc. shall establish and operate the DRCS in Southwood. The DRCS shall have a capacity for at least 1,600 students (the capacity for each such student is hereinafter referred to as a "seat") in grade levels Kindergarten through twelfth. The parties hereto, and other entities, have heretofore set forth their respective understandings and agreements. In return for St. Joe's continued support and assistance of the DRCS, and other good and valuable consideration, FSUS Inc. agrees to reserve seats to be used by persons who are qualified to use such seats, in accordance with the criteria set forth in Section II(B) below (individually a "Southwood student" or collectively "Southwood students"), and the parties hereby set forth their mutual understandings and agreements with respect thereto.

II. Southwood Students. (A) Reservation total, grade level apportionment; admission rules. FSUS Inc. shall reserve, for Southwood students at least the number of seats ("Southwood seats") specified in the following table ("Minimum Reserved Seats"): 

<table>
<thead>
<tr>
<th>Minimum Reserved Student Seats</th>
<th>Final Student Seats</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
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</table>

- 1 -
Except as the parties hereto otherwise agree in writing, the Southwood seats shall be apportioned among three grade level groups as follows:

1. Kindergarten through fifth grade (K-5): 32%;
2. Sixth grade through eighth grade (6-8): 36%;
3. Ninth grade through twelfth grade (9-12): 32%.

FSUS Inc. shall accept each Southwood student for a Southwood seat up to the Minimum Reserved Seats open for the respective grade level grouping. FSUS Inc. shall not restrict enrollment of a Southwood student by any means or according to any criteria other than by grade level grouping or FSUS policies; provided, however, a Southwood student shall otherwise be required to abide by school rules and regulations, including but not limited to payment of a student activity fee and such other fees and assessments, required by school policy for all students.

(B) **Eligibility and verification.** Subject to the enrollment limitations and other limitations and conditions provided for herein, a Southwood seat shall be available to the child of a person who:

1. owns a lot or home in the residential community of Southwood and is a member in good standing of the Southwood Residential Community Association, Inc.; or
2. has contracted with St. Joe to purchase a lot or home in the residential community of Southwood with an anticipated closing date prior to the end of the current school year. In the event the person is no longer a party to the contract for purchase, or if the contract for purchase has been terminated for any reason, the child shall no longer be eligible to be a Southwood student or for continued enrollment in a Southwood seat, and St. Joe may thereafter reissue that seat to another eligible Southwood student, subject to the limitation set forth below.
St. Joe shall verify eligibility under the terms and conditions of this Agreement prior to enrollment of a Southwood student into a Southwood seat. Southwood seats shall be filled on a first-come, first-served basis, as documented by Southwood, and in conformance with the policy of the Board of the DRCS ("Board") regarding students and such seats. FSUS, Inc. is responsible for admitting Southwood students. Evidence of the "first-come, first-served" basis of selection shall be provided to the Board at the time a student is designated to fill a Southwood seat. FSUS Inc. shall not enroll into a Southwood seat any student other than a Southwood student eligible for a Southwood seat. If an eligible Southwood student enrolled at the DRCS becomes ineligible during the school year because the student no longer meets the eligibility requirements of paragraphs II(B)1 or II(B)2 above, that student will be permitted to finish the current school year before disenrollment.

(C) Demographic or other enrollment balance. FSUS Inc. shall maintain any required demographic or other enrollment balance or minimum requirement with respect to the overall DRCS student population through enrollment criteria and adjustments to student seats other than Southwood seats. St. Joe shall assist FSUS Inc. in the admissions process as it relates to Southwood residents by sharing demographic or other relevant information it has in its possession concerning the Southwood community and its residents.

(D) Admission List. St. Joe shall maintain and administer in a fair and impartial manner its list of students eligible for admission to the DRCS. This list shall be known as the Admission List. The Admission List shall be compiled using a "first-come first-serve" basis, and eligible students will likewise be admitted on a "first-come, first serve" basis. The Admission List shall be filed with the Board within thirty (30) days of a written request to St. Joe by the Board or its representative for such information.

III. Capital Funding Payment. (A) Filling allotted seats; notification of shortfall; payment. FSUS Inc. shall make a good faith attempt to fill the allotted Southwood seats with Southwood students by the commencement of each school year. FSUS Inc. shall notify St. Joe in writing of any shortfall in enrollment in the allotted Southwood seats by Southwood students, by grade level grouping,
no later than the end of the third week of each school year. FSUS Inc. shall provide in such written notice a request for payment by St. Joe of an amount equal to the capital funding applicable to each of the empty Southwood seats. The capital funding payment ("Capital Funding Payment") by St. Joe for each seat shall be equal to the amount of capital funds that would otherwise have been provided by the State of Florida if the seat had been filled for the school year. St. Joe shall deposit its Capital Funding Payment with FSUS Inc., which payment shall be retained by FSUS Inc. in a separate capital account. The deposit by St. Joe shall be made within 15 business days following its receipt of a written request by FSUS, Inc. for St. Joe’s Capital Funding Payment, but in no event later than September 30 of any school year.

(B) Filling Southwood seats after Capital Funding Payment; rebate. FSUS Inc. shall make a good faith attempt in each school year to fill empty Southwood seats with Southwood students following the Capital Funding Payment by St. Joe. St. Joe shall be rebated any Capital Funding Payment for each empty seat when such seat is subsequently filled by a Southwood student and for which capital funds are received from the State of Florida during that school year. Such funds shall be rebated to St. Joe within 15 business days of receipt of those funds to the credit of FSUS Inc.

(C) Requested reduction following Capital Funding Payment. St. Joe may request in writing to FSUS Inc. a reduction of its allotted Southwood seats following the Capital Funding Payment by St. Joe. In that event, FSUS Inc. shall make a good faith attempt to fill the empty Southwood seats with non-Southwood students. St. Joe shall be rebated any Capital Funding Payment for each empty seat when such seat is subsequently filled by a non-Southwood student and for which capital funds are received from the State of Florida during that school year. Such funds shall be rebated to St. Joe within 15 business days of receipt of those funds to the credit of FSUS Inc. The seats so filled shall be deemed a temporary release of seats subject to their reclassification as Southwood seats in the following school year.

V. Excess Southwood Students. (A) Waiting list. St. Joe shall maintain and administer in a fair and impartial manner a separate list of students eligible for admission to the DRCS if there are more
Southwood students eligible for enrollment than there are available seats at the DRCS. This list shall be known as the Waiting List. The Waiting List shall be compiled using a “first-come first-serve” basis, and eligible students on the Waiting List will likewise be transferred to the Admission List, and admitted, on a “first-come, first serve” basis. The Waiting List shall be filed with the Board within thirty (30) days of a written request to St. Joe by the Board or its representative for such information.

(B) Filling seats from Waiting List. If at any time the total number of Southwood students enrolled at the DRCS is less than 500, FSUS Inc. shall notify St. Joe of this fact and St. Joe shall notify FSUS, Inc. of the students from the Waiting List which are allowed to fill such available seats. Southwood seats shall be filled from the Waiting List on a first-come, first-served basis and in conformance with Board policy regarding students and such seats.

VI. Temporary Overflow Classroom Space. If the number of Southwood students eligible for enrollment exceeds the Minimum Reserved Seats or the annual allotment or adjusted allotment of Southwood students, or in the event St. Joe projects that the number of eligible Southwood students will exceed the Minimum Reserved Seats in the ensuing school year, St. Joe may in writing request FSUS Inc. to increase the capacity of the school on a temporary basis. If temporary classroom space is requested and approved by FSUS Inc., St. Joe and FSUS Inc. each shall contribute an agreed-upon amount to cover the costs of providing such temporary classroom space. In the event that a temporary increase in the capacity of the school is made, FSUS Inc. shall provide no less than 33% of the number of seats resulting from the increase in capacity of the DRCS to Southwood students on the same enrollment basis as other Southwood students, subject to any required demographics or other enrollment balance or minimum requirement with respect to the overall DRCS student population. If temporary space is provided to allow for the increase in the capacity of the DRCS as provided in this section, FSUS Inc. and St. Joe shall negotiate to provide a permanent increase to the capacity of the DRCS, either on-site or off-site.

VII. Increase in Capacity of DRCS. If at any time FSUS Inc. increases the capacity of the DRCS to a number greater than 1600 students other than on the temporary basis as provided in Section
VI. herein, St. Joe shall have the option to increase the Minimum Reserved Seats by an amount up to 33% of the number of seats resulting from the increase in capacity of the DRCS.

VIII. Assignment of Rights. St. Joe may assign its rights to a third party, to a community association, or to a successor developer of the Southwood community, subject to the written approval of FSUS Inc., which approval shall not be unreasonably withheld. In the event of such assignment, the third party or successor developer shall assume all of St. Joe’s obligations with respect hereto.

THE FLORIDA STATE UNIVERSITY SCHOOLS, INC.

By:  

Its: Board Chairman

Date: December 8, 2015

THE ST. JOE COMPANY, a Florida corporation,

By:  

Its: President/CEO

Date: December 7, 2015
MEMORANDUM

TO: John Thrasher, President

FROM: Kyle Clark, Vice President of Finance & Administration

DATE: February 15, 2016

SUBJECT: Request for Approval
Finance, Business and Audit Committee Charter

Attached is the proposed charter for the Finance, Business and Audit Committee, a standing committee of the Board of Trustees. The charter outlines the purpose, composition and responsibilities of the committee.

I recommend your approval.

KC/rg

Attachment

Approved
MEMORANDUM

TO: President John Thrasher
FROM: Sam M. McCall, Chief Audit Officer
SUBJECT: Agenda Items for the March 4, 2016, BOT Meeting:


Request for Approval to be placed on the BOT Consent Calendar

Please find enclosed the 2014-2015 Annual Report of the Office of Inspector General Services. I respectfully requests the report to be included on the BOT Consent Agenda for the March 4, 2016, BOT meeting. These documents were previously provide to the BOT for their information.

Thank you.

Attachment
THE FLORIDA STATE UNIVERSITY

Office of Inspector General Services

Annual Report

2014-2015
Office of Inspector General Services

SAM M. McCall, PhD, CPA, CGMA, CGFM, CIA, CGAP, CIG
Chief Audit Officer

Kitty J. Aggelis, CIA, CGAP, CRMA
Director of Audits/Investigations

Janice Foley, CPA, CISA, CFE, CRMA, CIG
Director of Audits/Investigations

Jeffrey L. Caines, CIA, CFE, CGAP
Senior Auditor/Investigator

Kim Doss, CIGI, CFE
Senior Auditor/Investigator

Heather Harrell, CPA
Senior Auditor/Investigator

Eric Reeves, CPA
Senior Auditor/Investigator

Natalia Salnova, CPA, CIGA
Senior Auditor/Investigator

Carolyn Williams-Lawyer, CISA
Information Technology Auditor

April W. Ulrich
Administrative Assistant

Stefano Cavallaro, Rachel Glaser, and Chase Neumayer
Student Interns

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Message from the Chief Audit Officer (CAO)

This Annual Report of the Office of Inspector General Services (OIGS) summarizes audit and investigative efforts for fiscal year 2014-15. During the year, staff worked very diligently to issue audit and investigation reports important to University operations.

We issued 26 reports to include fourteen audit reports, five management assistance reports, three internal control and compliance reports, two investigative reports, and two investigative memos. We processed 46 investigative inquiries. In addition, twice each year we issue a comprehensive follow-up report to show management’s level of implementation of recommendations made in previously issued reports. For our latest six-month follow-up report, over 90 percent of previously identified issues had been either fully implemented or partially implemented. By issuing reports that are fair and objective, by management taking action to address areas for improvement, and by following up to validate the actions taken, our cooperative efforts promote accountability.

The most important building block in any organization’s system of internal control is the control environment, which is demonstrated by a proper “tone at the top.” Both faculty and staff have demonstrated the proper tone by embracing recommendations for improvement and establishing a course of action to timely address issues identified.

During the year and in development of the 2015-16 Annual Work Plan, I continue to be pleased to receive increased requests for our services. The goal of the OIGS is to be seen as essential to the successful operation of University programs, activities, and functions, and to provide a comprehensive program of internal auditing that adds value and assists management in the accomplishment of organizational goals and objectives. We are mindful of the need to conduct independent, objective, and unbiased audits and investigations of alleged fraud and/or abuse identified by us or brought to our attention by others.

Several important staff changes have occurred since issuance of the 2013-14 Annual Report. Two staff left during the year and we are very pleased to welcome two new employees. Natalia Salova and Eric Reeves bring to the Office several years of audit experience in State government and both are Certified Public Accountants. They have much to offer to the Office and we will take full advantage of their knowledge, skills, and abilities. With these recent additions, the Office is fully staffed. With the education, certifications, and experience of current staff we are well positioned to review financial, operational, programmatic, and investigative issues and to meet the challenges and opportunities that lie ahead.

Looking back on the year, I had the pleasure and honor of working for Interim President Garnett Stokes until her resignation. Her support of the necessary and essential role filled by an audit and investigative function was valued and appreciated.

As Chief Audit Officer, I also report to the Board of Trustees and, specifically, to the Finance, Budget, and Audit Committee. Audit Committee Chairman Mark Hillis provided invaluable advice and counsel during the year and we worked together to develop and propose an audit charter for the Board of Trustees Audit Committee and to update the audit charter of the Office. Trustee Joe Graters began his service as the BOT Audit Committee Chairperson in 2015-16 and I look forward to working with him.

Since November of 2014, I have had the honor of serving President John E. Thrasher. I look forward to being a contributing part of his administration and supporting his vision for the University. We will add value in providing assurance and consulting services for current...
programs and for new programs and priorities identified by the President.

It is an honor to serve President Thrasher; the Finance, Business, and Audit Committee; the Board of Trustees; students; and the University. The Office of Inspector General Services appreciates the trust placed in us and we will work toward meeting their expectations in the 2015-16 fiscal year. The 2015-16 Annual Work Plan recommended by the President and formally approved by the Board of Trustees is shown at the end of this Annual Report.

Sam M. McCall, PhD, CPA, CGMA, CGFM, CIA, CGAP, CIG

Authority for the Office

The Florida State University President and Board of Trustees (BOT) initially approved a charter for the Office of Audit Services (OAS) in September 2003. Subsequently, in November 2012, the President approved changing the name of the OAS to the Office of Inspector General Services (OIGS).

Purpose, Mission, and Vision

Purpose

Internal auditing at Florida State University is an independent, objective assurance and consulting activity designed to add value and improve University operations. It helps the University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance. processes.

The Office also performs investigations of alleged fraud, waste, abuse or other allegations which could result in the loss or misuse of University resources. Such allegations may come to the attention of the Office during the audit process or through reporting by University faculty, staff, students, or the general public.

Mission

The OIGS' mission is to provide an independent, objective, and comprehensive program of auditing and investigating University operations; to advance accountability through the provision of assurance and consulting services and investigations; and to actively work with University Boards and Committees, management, faculty, and staff in identifying risks, evaluating controls, and making recommendations that promote economical, efficient, effective, equitable, and ethical delivery of services.

The OIGS, headed by the Chief Audit Officer (CAO), provides a central point for coordinating and carrying out activities that promote accountability, integrity, and objectivity.

Vision

The Office of Inspector General Service's vision is to be an exemplary professional audit and investigative organization that adds value, promotes accountability, fosters transparency and understanding, and is viewed by the University as essential to the proper functioning of University controls and operations.

Audits

Internal audits are conducted in conformance with The International Standards for the Professional Practice of Internal Auditing. The audits are carried out in accordance with an Annual Work Plan approved by the President and the Board of Trustees. The OIGS takes a facilitative approach to our audits by actively engaging with our University colleagues in developing action plans in response to audit observations. The following audits were on our Annual Work Plan and were completed during 2014-15. Many of the resulting planned actions either have been implemented or significant progress on
them has been made.

The following is a listing of audits issued during the 2014-15 fiscal year followed by a summary for each audit. For a more thorough understanding of each audit, please contact the OIGS and request the full report.

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### Selected Billing Rates Charged to Federal Programs – Laboratory Animals Resources

The purpose of this audit was to review documentation supporting the billing rates charged to federally sponsored contracts and grants that were established by the University’s Laboratory Animal Resources (LAR) Auxiliaries: Per Diem and Animal Purchases. These billing rates are designed to recover the costs of providing a specialized good or service. Developing rates that are accurately calculated, adequately supported, and that do not include costs not allowable under federal cost principles, will provide assurance that federal grants are properly charged when purchasing goods or services from University businesses. It will also reduce the risk that the University will be required to reimburse federal grants and/or potentially be assessed federal fines. Specifically, our objectives were to determine whether:

1. The LAR Auxiliaries assessed reasonable rates that were supported by adequate documentation;

2. The LAR Auxiliaries excluded unallowable costs from their rate calculations in accordance with federal cost principles and applicable laws, rules, and written policies and procedures; and

3. Amounts invoiced by the LAR Auxiliaries were consistent with their approved rates.

We concluded that the LAR Per Diem Auxiliary’s billing rates were generally developed in compliance with federal cost principles and applicable laws, rules, and written policies and procedures and that invoices of federal users were based on established rates. We concluded that the Animal Purchases Auxiliary properly invoiced no more than its cost for lab animals.

We also identified the following opportunities to help improve compliance:

LAR could help improve compliance with the University’s Auxiliary Operations policies and procedures by:

- Organizing the documentation supporting the Per Diem Auxiliary rates so it is easily understandable and readily auditable;

- Working with accounting staff and Sponsored Research Accounting Services to refund, where possible, $1,264 in revenue associated with overcharges of the technicians’ labor rate; and

- Correcting the property accounting records for the three capital assets we identified as expenses in error.

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Recommendations were made and an action plan was developed to address each of the identified areas.

At the end of the audit, the LAR Director advised us that plans are being made to implement a new system for developing billing rates in late summer or early fall of 2014. We will assess the new methodology and evaluate the need to schedule an audit of that methodology during our periodic audit follow up.

The purpose of this audit was to evaluate the University’s policies, procedures, and practices for subrecipient monitoring and to determine whether these are aligned with federal and state rules and regulations and the expectations of the University’s sponsors.

Our audit objectives were to determine:

1) Whether the University’s procedures for the selection of subrecipients include a process to address conflict of interest issues, a risk assessment of the proposed subrecipients, and vendor versus subrecipient determination;

2) If University policies and practices are sufficient to provide reasonable assurance that subrecipients can and are administering federal awards in compliance with federal requirements; and

3) What processes the University has in place to monitor subrecipients funded wholly with State of Florida funds, and not involving any federal funding.

We made a substantial number of recommendations to strengthen the University’s subrecipient monitoring policies and procedures. These recommendations concerned improvements in written policies and procedures governing the Office of Sponsored Research’s:

1) Reviews of financial conflicts of interest of Principal Investigators (PIs) and their support staff involved in the management of sponsored projects;

2) Reviews of proposed subrecipients’ eligibility to receive federal and/or state funds;

3) Risk assessment process to review new subrecipients prior to issuing subawards;

4) Completion of annual risk assessments for all subgrantees and development of during-the-award monitoring plans based on the results, for subrecipients with whom the University has already contracted.

Subrecipient Monitoring within Sponsored Research

Subrecipient monitoring is a vital and required activity for University projects sponsored by federal and state funds. Florida State University (FSU) activities and research are supported by a variety of funding streams including federal, state, and local governmental entities as well as private sponsors. On occasion, some of this funding is awarded to other parties (subrecipients) as needed to support the activities or research. The University is responsible for monitoring the programmatic and fiscal activities of its subrecipients in order to ensure proper stewardship of sponsor funds. In addition to achieving performance goals, each subrecipient must comply with applicable federal laws and regulations, state and local laws, the provisions of the prime award, and the provisions of the agreement between the University and the subrecipient. During fiscal year 2012-13, the University spent over $146 million dollars in federal funds to support Research and Development projects. Almost $30 million of those funds were payments to subrecipients. Subrecipients included in our audit testing received awards amounting to $19,526,734.

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5) Vendor versus subrecipient determinations;

6) Training for PIs and their support staff to guide their subrecipient monitoring, including governing laws, regulations, Office of Management and Budget (OMB) circulars, and University policies and procedures; and how to implement and document monitoring activities—both programmatic and fiscal;

7) Testing of subrecipient expenditures for subrecipients identified as high-risk as a result of the Office of Sponsored Research’s annual risk assessments;

8) Requests for and timely reviews of all subrecipients’ A-133 audit reports;

9) Timely issuance of management decisions on subrecipients’ A-133 audit reports, where required; and

10) Inclusion in University contracts of a requirement that nonstate entity subrecipients of the University’s state-funded awards must obtain and provide their audits conducted pursuant to the Florida Single Audit Act.

Sponsored Research acknowledged that improvements can be made in the subrecipient monitoring processes and began researching and implementing changes based on our recommendations.

Foundation Scholarships

The purpose of this audit was to evaluate University compliance with donor gift agreements concerning Foundation scholarships, and with Foundation policies and procedures. The scope of the audit focused on fiscal year 2012-13, during which time there were 1,099 individual Foundation scholarship funds with expenditures, with a total of $6,363,333 in disbursements. Our primary objectives were to:

1) Determine if scholarship awards were made in accordance with the donors’ criteria in written gift agreements, as well as Foundation policies and procedures; and

2) Determine the accuracy of scholarship disbursements, i.e., that they were made to the correct students in the appropriate amounts.

Also, during our audit we noted ways the Foundation could improve its administration of scholarships for which it is responsible.

For 11 of the 16 scholarship funds we audited (69 percent), donors’ criteria in their written gift agreements were all met. For the remaining five funds (31 percent), we noted one or more instance of noncompliance in: 1) The Process of Selecting Scholarship Recipients, 2) The Frequency/Timing of Scholarship Awards, and 3) Costs Covered by the Scholarships.

We also identified one instance of noncompliance with the Foundation’s Gift Acceptance and Counting Policies, and with the federal Pension Protection Act of 2006 concerning donor-advised scholarship funds.

In our testing of the accuracy of scholarship payments to student recipients we noted no errors.

In conducting our audit we also noted three common areas where the University’s administration of scholarships campus-wide can be improved: 1) Written Policies and Procedures Concerning the Administration of Scholarships, 2) Ability to Locate and Apply for Scholarships, and 3) Monitoring of Scholarship Disbursements by the Foundation.

We made seven recommendations to address concerns we identified during the audit. We recommended the Foundation:

1) Work with the departments where we noted instances of noncompliance to help them achieve compliance with the donors’ criteria in

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written gift agreements or Foundation policies and procedures.

2) Consult with the University’s Office of General Counsel regarding the appropriate use of the unrestricted Admissions scholarship fund under the President’s discretion since 1996, and any changes that need to be made in the fund’s administration.

3) Establish and disseminate formal administrative and University-wide scholarship policies and procedures to attain an objective, nondiscriminatory, and unbiased method for awarding scholarships campus-wide. These policies and procedures should address the following five areas discussed in our report: 1) Managing Gift Agreements, 2) Forming Screening and Selection Committees, 3) Documenting the Selection Process, 4) Retaining Documentation Concerning Scholarship Awards, and 5) Foundation Monitoring.

4) For all scholarship funds considered to be at the discretion of the President, ensure formal written documents of the current President’s instructions on the uses of the fund are obtained and kept in each fund’s files.

5) Ensure that University departments are aware of Foundation policies and procedures, and federal laws and regulations.

6) Ensure that scholarship funds are prominently displayed on a University website, e.g., on the Foundation’s website, and that direct applications are made available. The website should have easy access to a listing of scholarships available by department, as well as a running list of available scholarships campus-wide. On the website, each scholarship listed should include eligibility criteria as well as application information.

7) Continue to select scholarship funds on a sample basis to review for compliance with donors’ intent, Foundation Gift Acceptance and Counting Policies, and federal laws and regulations, and also to ensure that scholarship disbursements are accurate. The Foundation should document these monitoring efforts.

An action plan was developed to address each of our recommendations.

Selected Billing Rates Charged to Federal Programs – Information Technology Services

The purpose of this audit was to review documentation supporting the billing rates charged to federally sponsored contracts and grants that were established by the University’s Information Technology Services (ITS) Auxiliaries: Network and Communications Technology (NCT) Service and Research Computing Center (RCC). These billing rates are designed to recover the costs of providing a specialized good or service. Developing rates that are accurately calculated, adequately supported, and that do not include costs not allowable under federal cost principles, will provide assurance that federal grants are properly charged when purchasing goods or services from University businesses. It will also reduce the risk that the University will be required to reimburse federal grants and/or potentially be assessed federal fines. The NCT Service and RCC Auxiliaries’ revenue for fiscal year 2014 was $10,245,408, and $1,329,292, which included $650,000 in subsidies from various University entities, respectively. Specifically, our objectives were to determine whether the ITS Auxiliaries:

1) Assessed reasonable rates that were supported by adequate documentation;
2) Excluded unallowable costs from rate calculations in accordance with federal cost principles and applicable laws, rules, and written policies and procedures; and

3) Invoiced amounts consistent with approved rates.

We concluded that the NCT Service and RCC Auxiliaries’ billing rates were generally developed in compliance with federal cost principles and applicable laws, rules, and written policies and procedures, and that invoices of federal users were generally based on established rates. However, we did identify the following opportunities to further improve compliance.

We also recommended ITS improve compliance with the University’s Auxiliary Operations policies and procedures by:

- Implementing steps to confirm that all rates in use are provided to the Budget Office, including billing rates for the virtual machine and technician labor; and

- Completing efforts to develop a virtual machine billing rate that is supported by readily available and auditable documentation.

An action plan was developed by management to address each of these recommendations.

Master Craftsman Program Auxiliary

We conducted a consulting engagement to provide information on certain program objectives and operations of the Master Craftsman Studio Auxiliary (the MCS or Auxiliary) which is currently operating in the College of Fine Arts, (CFA or College). The objectives of our consulting engagement were to:

1) Determine if the MCS is operating consistent with the definition of an auxiliary set out in law, rule, and University policy, and with the approved purpose for this auxiliary;

2) Determine whether the current MCS Director’s comments as to his vision for the program are consistent with law, policy, and the Auxiliary’s authorized purpose;

3) Determine whether the relationship between the MCS Director, Kenneth von Roenn, and the sale by MCS of art fabrication services to Kaiser/von Roenn Studio, LLC. (K/vR), a business from which the Director earns income, creates a prohibited conflict of interest;

4) Assess MCS’s financial self-sufficiency;

5) Determine whether MCS prices its products to recover related cost; and

6) Assess options available for MCS operations, including whether moving the Auxiliary to the Facilities Department should be considered.

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We concluded that MCS is not operating consistent with the definition of an auxiliary. Section 1011.47(1), Florida Statutes, defines auxiliary enterprises as activities “that directly or indirectly provide a product or a service, or both, to a University or its students, faculty, or staff and for which a charge is made.” The MCS Auxiliary was established in the Division of University Relations in 2001 and approved, by University management and the Auxiliary Service Board, for the primary purpose of providing student education “while producing objects for use on the FSU campus.” Board of Governor’s Auxiliary Operations Rule 9.013, requires that auxiliary activities “support the educational endeavor of the institution and enhance its functioning.” While the MCS Auxiliary was created to provide student education, education does not currently appear to be the Auxiliary’s primary operational goal. In addition, the Auxiliary is no longer focused on providing products to the campus community but is instead focused on making sales to entities external to the University community. We concluded that the Auxiliary is no longer operating consistent with law, rule, University policy, and the purpose set forth for the Auxiliary when approved.

The MCS Director’s vision for the program is not consistent with the Auxiliary’s authorized purpose. The current MCS Director came to the University with an understanding that his primary responsibility was to make the auxiliary financially viable which he intended to achieve by increasing sales to entities outside the University so that these sales represented approximately 75 percent of all MCS sales. He also came to FSU with a vision for the MCS that would make its operations integral to creating the first public art program in a university. He stated that when sales to entities external to the University are at a high enough level, there would be enough projects with minor tasks that the students could work on and the students would have the educational opportunity to watch other more difficult tasks being done by experienced craftspeople.

The Director’s vision for the program might, over time, increase opportunities for student involvement and education. However, until student education and/or service to the University are the primary focus of the MCS, rather than incidental to its operation, MCS operations will not be consistent with the framework for an auxiliary operation established in law, rule, and University policy, or with the approved purpose for establishing this auxiliary.

The MCS Director’s relationship with K/vR likely creates a conflict of interest. The Director came to the University with an understanding that his responsibility was to make the MCS financially viable and that he would accomplish this by bringing projects from his ongoing business, K/vR, to the MCS for execution. While the Director removed himself from a controlling role in K/vR, he continues to earn income as a partner in K/vR as a commissioned artist designing architectural glass art which is then subcontracted to MCS for production. Section 112.313(7)(a), Florida Statutes, states, “No public officer or employee of an agency shall have or hold any employment or contractual relationship with any business entity or any agency which is subject to the regulation of, or is doing business with, an agency of which he or she is an officer or employee.” The Director stated that, at the time he accepted employment with the University, he was not aware of or did not fully understand the Florida Law related to conflict of interest. At the same time, the University understood that not only did he no longer hold a controlling interest in K/vR but that he would not receive a direct financial benefit from his business. We contacted the General Counsel with the Florida Commission on Ethics, who agreed that Section 112.313(7)(a), Florida Statutes, is relevant to the situation and considered it likely the business relationship between the Director’s private interest in K/vR and his role with the MCS would create a prohibited conflict of interest. In addition, the growth in subcontracts from K/vR has placed MCS in the position of depending on K/vR for its financial health.

MCS has not been financially self-supporting. The MCS has not been able to consistently generate adequate revenue from sales to FSU campus entities to be self-supporting and has depended historically on financial subsidies to support its continuing existence. This includes subsidies from the President’s Office and also the payment of the majority of the Director’s salary from Educational
and General Funds (E&G). The Director has attempted to make the Auxiliary self-supporting by bringing in new revenue from outside the University, which is not consistent with the framework established in law, rule, and University policy, which defines the intent of an auxiliary as providing service to the University community. We concluded it unlikely that the MCS will be able to operate consistent with the framework for an auxiliary, and the Auxiliary’s authorized purpose, without continuing financial subsidies.

The MCS project accounting system does not fully account for all costs. The Auxiliary produces standard products such as benches, University seals, plaques, and engraved boxes. It also produces to-order projects to meet specific client needs. The cost of creating either standard products or to-order products has not been determined. The Auxiliary has been limited in its ability to properly set its product prices to cover costs as it has not established a project accounting system that captures all costs associated with designing and fabricating those products. The MCS implemented a job costing system in April 2014 which primarily captures direct costs but may be able to provide useful information for job costing in the future. However, until the MCS captures all costs in its project accounting system, including indirect costs and costs recorded and funded outside the Auxiliary’s accounting system, the program will not have a reliable and fair way to identify and recover its costs.

Wherever MCS is located, it will need to operate consistently with the purpose of an auxiliary. The MCS could continue to operate as an auxiliary of the CFA. However, we have concluded that the recent move to become self-sufficient by seeking revenue from outside the University is not consistent with the definition of an auxiliary provided in law and rule or consistent with the Auxiliary’s authorized purpose. To comply with its authorized purpose, the MCS will need to return its focus to providing student educational opportunities by making goods for use on the University campus which would no longer be compatible with the Director’s understanding and vision and would not allow the auxiliary to continue producing goods under subcontract from the Director’s related business. When its sales were limited to the University campus the MCS did not have enough revenue to cover its disbursements and become self-sufficient. As a result, it is likely that the MCS would require continuing financial subsidies.

Alternatively, the MCS could be placed organizationally and become a function within the Facilities Department. This would require the Facilities Department to take responsibility for the production of art for the campus which is consistent with its role in maintaining and restoring public art on campus. The Facilities Department has two working artists who are responsible for this function and could contribute to providing student educational opportunities. If the MCS is placed in the Facilities Department, it could operate consistent with law, rule, policy, and its authorized purpose. Because the Auxiliary would be sharing resources with similar operations costs should be reduced. Such a move would require management to determine the scope of operations and evaluate the effect on current personnel and facilities. In addition, the MCS would need to arrange for the completion of production under contract to entities outside the University community.

Should University management choose to continue current operations without change, a final determination should be sought from the University General Counsel on whether such operation is authorized under law and University policy.

Subsequent to issuance of the above report, significant changes were made by University management to address program operations.
Health and Wellness Center Capital Construction Project

The overall purpose of this audit was to provide audit assurances on the University's process for the selection of construction managers (CMs) and architect teams (which includes the engineers), the accuracy of construction pay requests, and the Facilities Design and Construction Office's (FDC's) oversight of major construction projects. Our seven specific audit objectives were to:

1) Determine if the construction manager, architect, and engineer were selected in accordance with applicable federal and state laws, as well as University policies and procedures;

2) Determine if costs contained in construction pay requests were legitimate, accurate, properly supported and recorded, and in compliance with federal and state laws, as well as University policies and procedures governing capital construction and the construction agreement;

3) Determine if costs associated with the contract multiplier were defined as reimbursable, were properly supported, and were billed at actual cost or in accordance with the construction agreement;

4) Determine if change orders were priced in accordance with the contract documents and did not duplicate work authorized and paid for under any other change order, trade contract, or the construction agreement;

5) Determine if subcontractors were selected and managed in accordance with applicable federal and state laws, as well as University policies and procedures;

6) For any construction work that was self-performed by the construction manager, determine if University policies and procedures were followed; and

7) Evaluate the University's oversight of the construction project from start to finish, including adherence to the project timeline and budget.

This construction project had a total cost, as of September 8, 2014, of approximately $50 million and was complex in nature. In our audit, we concluded the selection process for the CM and architect team was fair, competitive, and in accordance with laws, regulations, and University policies. We also concluded that FDC was reviewing CM pay requests and subcontract bid documentation, and was managing the project to ensure it was within budget and performed on time. However, we noted areas that could be improved—primarily concerning multiplier rates and the trade contract award process. Providing more guidance through policy will help aid both FDC and the CM in ensuring that University funds are used to reimburse accurate costs, while also helping to ensure compliance with laws, regulations, and University policies.

We had the following seven recommendations to address the overpayments and risks we identified during the audit. We recommended that FDC:

1) Request reimbursement of $144,609 from the CM, which is the total amount of overpayments made by the University that we identified in this audit.

2) Develop and implement internal procedures requiring its staff to:
   - Perform thorough reviews of CM professional employees' labor hours for
overtime charges and holiday pay, as these are prone to errors, and provide training to staff accordingly;

- Instruct each vendor to indicate the associated University construction project on its invoices or, in the absence of this information, FDC staff should review CMs’ job cost coding on invoices for any charges to wrong projects;

- Obtain Final Release of Lien forms from all subcontractors, which are signed by them, dated, and notarized, at the time of the final payments by the CMs;

- Ensure compliance with Section 255.078, F.S., concerning withholding retainage from payments to contractors;

- Ensure any changes to the Guaranteed Maximum Price (GMP)\(^1\) result in an amendment to the contract; and

- Obtain appropriate documentation as to the reasonableness/need for any increases in salary rates when CM project employees are replaced, and FDC approval of the increased rates.

3) Begin enforcing its requirement of CPA certifications of CMs’ multiplier rates during GMP negotiations. These certifications should be performed by certified public accountants (CPAs) who are approved in advance by FDC. FDC should update its boilerplate CM agreement to include language stating this requirement, a requirement that the CM provide salary and multiplier supporting documentation when submitting the multiplier templates, and a requirement that any increases in salary rates or multiplier component rates must be requested by the CM, with supporting documentation for the increases and written approval by FDC. In addition, the agreement should include language stating that it is the responsibility of the CM to notify FDC of any changes to the multiplier—whether increases or decreases.

4) Update the change order policy to provide additional guidance to CMs and subcontractors concerning required related documentation.

5) Enhance internal procedures for monitoring the subcontract award process and develop more detailed guidance for CMs to follow concerning awarding subcontracts. The guidance to CMs should include a notice to CMs that they are not to execute trade contracts with subcontractors prior to receiving FDC approvals on the trade package authorization (TPA) trade forms. FDC should also develop a policy concerning the use and acceptance of alternates in trade contractor bids and this policy should be included in 4-OP-B-11-D2 Administration of Construction Manager Agreements and/or the boilerplate agreement between the University and the CM. In addition, the University Purchasing Policy should be included as an attachment to the boilerplate agreement given to the CM in the project file.

6) Ensure all employees use FDC’s updated boilerplate CM agreement that includes the strengthened audit clause, the purchasing policy clause, and the conflict of interest disclosure clause—in addition to recommended changes to FDC’s boilerplate agreement. Additionally, the audit clause should be strengthened to include defining the term “project records.”

7) Clarify in policy what types of multiplier components are acceptable for daily cleanup services.

Actions to address the above recommendations were identified and developed by FDC.

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\(^1\) GMP is the fixed amount in a negotiated contract within which the construction will be achieved; it includes both fees and construction costs.
Performance-Based Funding Metrics Data Integrity

The purpose of the audit was to assess the effectiveness of the processes established by the University to ensure the completeness, accuracy, and timeliness of Academic Year 2012-13 data submissions to the State University System of Florida Board of Governors (BOG) that support the University’s Performance-Based Funding (PBF) Metrics, and to provide an objective basis of support for the University’s President and Board of Trustees Chair to sign the representations included in the Performance-Based Funding – Data Integrity Certification, which was to be submitted to the Board of Trustees and filed with the BOG by March 6, 2015.

The focus of the audit was specifically on the controls surrounding the development and submission of data upon which the University’s 10 Performance-Based Funding Metrics are based, as outlined and approved by the BOG Budget and Finance Committee at its January 2014 Committee meeting. Those metrics include:

1) Percent of Bachelor’s Graduates Employed Full-Time in Florida or Continuing Their Education in the U.S. One Year After Graduation;

2) Median Wages of Bachelor’s Graduates Employed Full-Time in Florida One Year After Graduation;

3) Average Cost per Bachelor’s Degree (Instructional Costs to the University);

4) Six-Year Graduation Rate for First-Time-in-College Students (Full- and Part-Time);

5) Academic Progress Rate (Second Year Retention Rate with Grade Point Average (GPA) Above 2.0);

6) Bachelor’s Degrees Awarded within Programs of Strategic Emphasis (Science, Technology, Engineering, and Mathematics (STEM));

7) University Access Rate (Percent of Undergraduates with Pell Grants);

8) Graduate Degrees Awarded within Programs of Strategic Emphasis (STEM);

9) Faculty Awards (FSU’s Choice of Board of Governors’ Choice Metrics); and

10) National Rank Higher than Predicted by the Financial Resources Ranking, Based on U.S. News and World Report (FSU’s Board of Trustees’ Choice Metric).

Specifically, our nine audit objectives were the following.

1) Verify the appointment of the Data Administrator by the University President and that duties related to these responsibilities are incorporated into the Data Administrator’s official position description.

2) Review the processes used by the Data Administrator to ensure the completeness, accuracy, and timely submission of data to the Board of Governors.

3) Evaluate any available documentation including policies, procedures, and desk manuals of appropriate staff and assess their adequacy for ensuring data integrity for University data submissions to the Board of Governors.

4) Review system access controls and user privileges to evaluate if they are properly assigned and periodically reviewed to ensure only those authorized to make data changes do so.
5) Test data accuracy.

6) Evaluate the veracity of the University Data Administrator’s data submission statements that indicate “I certify that this file/data represents the position of this University for the term being reported.”

7) Review the consistency of data submissions with the data definitions and guidance provided by the Board of Governors through the Data Committee and communications from data workshops.

8) Review the University Data Administrator’s data resubmissions to the Board of Governors with a view toward ensuring these resubmissions are both necessary and authorized. This review should also evaluate how to minimize the need for data resubmissions.

9) Provide an objective basis of support for the University’s President and Board of Trustees Chair to sign the representations made in the Performance-Based Funding - Data Integrity Certification.

Overall, we concluded that the University has adequate processes for collecting and reporting Performance-Based Funding Metrics data to the BOG. In addition, we could provide an objective basis of support for the University’s President and Board of Trustees Chair to sign the Performance-Based Funding - Data Integrity Certification, which the BOG requested to be filed with them by March 6, 2015. We had two recommendations for improvement for which management agreed to take appropriate actions.

We recommended:

1) University administrators periodically check on the progress of the ongoing process to finish the scoping and development of the State University Database System (SUDS) reporting structures so as to assure timely reporting. We suggested University administrators continually assess the allocation of resources and the assignment of priorities to accomplish this end.

2) Policies and procedures be documented and amended as the reporting environment matures.

An action plan was developed and approved.

Capital Construction Multiplier Rates –
Asian Art Study Center

The purpose of this audit was to provide assurances that the multiplier rates used in the billing of construction labor hours for the University’s Asian Art Study Center at the John and Mable Ringling Museum of Art were accurate. The Asian Art Study Center is a $10.9 million construction project that was being overseen by the Construction Manager, Willis A. Smith Construction (Willis Smith). Of this amount, approximately $297,000 had been billed to the University as of October 11, 2014, for the CM’s project employees’ time, while $478,971 had been budgeted for this purpose for the entire project. The multiplier rates, also known as labor burden rates, are designed for the CM company to be reimbursed for its costs for project employees’ wages and benefits. Establishing rates that are reimbursable, properly supported, and billed at actual costs provides assurances to the University that it is not reimbursing the CM for unnecessary costs.

Our objective was to:

1) Determine if costs associated with the capital construction multiplier rates for the Asian Art Study Center were properly supported and billed at actual costs.
Study Center were reimbursable, properly supported, and billed at actual costs or in accordance with the construction agreement.

We concluded that the rates billed by the CM were overstated. Not only were numerous benefit components of the multiplier rates overstated, but the base salary rates for eight of the nine project employees were higher than their actual salary rates.

In addition, we determined that FDC was not approving changes to project staff that could have an effect on the labor cost line item of the GMP and was not enforcing its written policy to have attestation engagements performed concerning the CMs’ multiplier rates by a CPA annually, as no such engagement was done for this project.

We also noted that the multiplier template provided by FDC lists prior payroll tax rate information, which could be misleading to some CMs. Further, there was no FDC written guidance available to CMs on allowable training expenses.

The total amount of overcharges we identified was $84,305.

We made five recommendations to address issues we identified during the audit. We recommended the FDC:

1) Request reimbursement of $84,305 from the CM, which is the total amount of overpayments made by the University we identified in this audit. In addition, FDC should instruct the CM to use the audited multiplier rates in requesting reimbursement for labor costs through the remainder of the construction project—unless there are subsequent changes to project employees’ salaries/multiplier components;

2) Approve changes in project staff through an amendment to the CM contract if the changes could have an effect on the labor cost line item of the GMP;

3) Begin enforcing its requirement of CPA attestations concerning the CMs’ multiplier rates during GMP negotiations. The policy should be revised to state that the CPA firm’s staff person(s) directly performing the work should have experience performing attestation engagements and at least three years of experience auditing construction projects. The policy should also be revised to state a requirement that the CM provide salary and multiplier supporting documentation when submitting the multiplier templates. In addition, the policies and procedures should include language stating that it is the responsibility of the CM to notify FDC of any changes to the multiplier—whether increases or decreases;

4) Provide a footnote on the multiplier template to notify CMs that the payroll rates change annually; and

5) Provide written guidance to CMs on what types of training expenses (e.g., professional development, state-required training, travel expenses, etc.) are considered allowable for each type of project employee.

An action plan was developed by management to address each of these recommendations.
Capital Construction Multiplier Rates – Indoor Practice Facility

The purpose of this audit was to provide assurances that the multiplier rates used in the billing of construction labor hours for the University’s Indoor Practice Facility were accurate. The Indoor Practice Facility was a $14.4 million construction project that was overseen by the Construction Manager (CM), Childers Construction Company (Childers). Of this amount, approximately $246,000 was billed to the University for the CM’s project employees’ time.

Our objective was to:

1) Determine if costs associated with the capital construction multiplier rates for the Indoor Practice Facility were reimbursable, properly supported, and billed at actual costs or in accordance with the construction agreement.

We concluded that the rates billed by the CM were generally reimbursable, properly supported, and billed at actual costs or in accordance with the construction agreement. However, we did identify errors with the multiplier rates for three of the project employees. In addition, we determined that FDC was not enforcing its written policy to have attestation engagements performed concerning the CMs’ multiplier rates by a CPA annually, as no such engagement was done for this project.

We also identified errors with the CM’s calculation of hours charged to the project for one of the CM’s employees during our review of the supporting time sheets.

The total amount of overcharges we identified was $3,193.

We made three recommendations to address issues we identified during the audit. We recommended the FDC:

1) Request reimbursement of $3,193 from the CM, which is the total amount of overpayments the University made to the CM that we identified in this audit;

2) Begin enforcing its requirement of CPA attestations concerning the CMs’ multiplier rates during GMP negotiations. The policy should be revised to state that the CPA firm’s staff person(s) directly performing the work should have experience performing attestation engagements and at least three years of experience auditing construction projects. The policy should also be revised to state a requirement that the CM provide salary and multiplier supporting documentation when submitting the multiplier templates. In addition, the policies and procedures should include language stating that it is the responsibility of the CM to notify FDC of any changes to the multiplier—whether increases or decreases; and

3) Develop and implement written internal procedures requiring its staff to perform thorough reviews of CM project employees’ labor hours and time sheets for any unusual charges.

An action plan was developed by management to address each of these recommendations.

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Audit of Surplus Property

The overall purpose of this audit was to evaluate the Surplus Property program to determine the adequacy of internal controls and compliance with laws, rules, regulations, and University policies and procedures governing surplus property, as well as to assess the program’s efficiency and effectiveness, and opportunities for improvement.

When University property (capital and expendable) becomes obsolete, uneconomical, inefficient, or no longer serves a useful function for a department, it can request the property be classified as surplus. Based on our testing of 39 capital items, given the average years of service (14.5 years), many of the capital items sent to Surplus Property have had long usage at the University and are near or at full depreciation. For items that are still useable, the Surplus Property program facilitates the repurposing of such property—either by another University Department (as a first choice) or other non-University entities such as state agencies, thus saving the University or these other entities, and ultimately state taxpayers money. Using management reports produced by Controller’s Office staff for the period December 1, 2013 through November 30, 2014, we determined that 1,318 surplus property items were transferred between University departments during that time frame, representing an estimated savings to the University of $776,633. If useable property items are not claimed for use by the University or these entities,

the University offers the items for sale to the public via online auctions, returning proceeds from these sales to the University. For the period reviewed in the Controller’s Office’s management reports, 4,622 property items were sold to the public via online auctions, for a total of $194,496 in sales.

In some cases, items identified by departments as Surplus Property have no value other than as scrap, or no value at all. In these instances, the property is physically disposed of through FSU Solid Waste and Recycling. For the period reviewed, 167 property items were disposed of in this manner. No data were available for monies recovered by the University for the sale of scrap through the Surplus Property program.

In repurposing or selling surplus property, including as scrap, the Surplus Property program serves the vital function of helping the University maximize its resources. In all of its actions, the Surplus Property program must ensure a clear audit trail documenting the disposal of University assets, to show responsible stewardship.

Our audit testing covered the period from November 15, 2013 through December 8, 2014.

Our four audit objectives were to determine whether:

1) Controls and accounting procedures for surplus property were adequate;

2) Monies collected during auctions of surplus property were accurately accounted for and properly safeguarded;

3) The Surplus Property program was in compliance with laws, rules, regulations, and University policies and procedures governing surplus property; and

4) Surplus Property’s operations were efficient and effective.

We concluded that, overall, the University’s Surplus Property program’s controls and accounting procedures were adequate; monies from auctions were accurately accounted for and properly

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3 Transfer savings numbers reflect estimated replacement costs for similar items, based on historic average costs paid by FSU and/or recent prices obtained from Amazon.com.

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safeguarded; property was properly disposed of and the program was generally operating in compliance with applicable laws, rules, regulations, and University policies and procedures governing surplus property; and the program was operating efficiently and effectively. Also, we noted areas for improvement.

Below is a summary of what we found for each of our objectives.

**Objective #1 - Controls and Accounting Procedures**

We concluded that the Surplus Property program was in compliance with the University’s background checks policies and procedures for its staff and there was an adequate segregation of duties for Surplus Property personnel. We also determined the security and general condition of the facilities and surplus property items were adequate. We noted the following areas for improvement:

- The University’s Surplus Property policies and procedures generally compared favorably with those of five peer universities that we reviewed. The policies and procedures can be strengthened by addressing three additional areas covered by the selected peer universities’ policies and procedures: 1) required training for the identification and handling of hazardous materials, 2) responsibility for shipping fees, and 3) reimbursements for equipment acquired with contracts or grants funding.

- Surplus Property’s protocol was that no surplus property items are deleted from the surplus property SharePoint database when finally disposed of. We tested a sample of items from the database that were categorized as “Other Disposal.” This code was used by Surplus Property staff to generally denote items other than those sold via the University’s online auctions that were no longer at the University, e.g., missing, transfers/donations to non-FSU entities, or recycled. We determined that required documentation to establish an audit trail and ensure accountability for surplus property items disposed of was not available for several of these “Other Disposal” items we reviewed—especially those indicated as “missing.” According to Surplus Property staff, our testing sample was within the transition period from hard-copy forms to electronically submitted forms, and such missing documentation should no longer be an issue.

**Objective #2 - Monies Collected from Auctions of Surplus Property**

We concluded that:

- Prices paid for surplus property items via the University’s online auction site were the same as the prices bid for them;

- Public Surplus timely sent EFT payments to the University for online auctions it conducted and these total payments agreed with the total amounts bid and paid for; and

- The proceeds from Public Surplus for online auctions were deposited into the correct department/fund/account in the University’s Online Management of Networked Information (OMNI) Financials System.

**Objective #3 - Compliance with Laws, Rules, Regulations, and University Policies and Procedures Governing Surplus Property**

We concluded that:

- Concerning sales taxes on transactions from online auctions, Public Surplus outsourced its payment processing to Public Processing, LLC, a third-party payment processing company. Public Processing collected sales taxes from buyers and sent these, along with payment, to the University for its surplus property, and the University remitted the collected sales taxes to the Florida Department of Revenue. We determined the amount of sales taxes collected by Public Processing for the sales and sent by the University to the Department of Revenue was correct. However, for buyers who did not pay sales taxes tax exemption certificates were not consistently available for them from Surplus Property staff. Without this documentation,
University may be subject to having to remit the taxes to the Department of Revenue.

- The Surplus Property program met the criterion for holding items for the required number of business days and making them available to FSU departments at no cost before being listed on the University’s online auction website.

- The Surplus Property program was properly tagging and recording assets’ descriptions as well as receipts upon acquiring surplus property items and upon their disposal.

- During our site visits of the Surplus Property program’s three warehouses, we found no surplus property items that posed the threat of contamination/hazardous materials; we confirmed that Surplus Property was properly scrubbing hard drives in computers.\(^3\)

- The Surplus Property Survey Board was operating as designed to review and approve the disposition of capital assets with costs of $100,000 or more. In discussions, the Property Services Manager on the Board commented to us that consideration should be given to including representation from the Facilities Maintenance Department.

Objective #4 – Efficiency and Effectiveness of the Surplus Property Program

Overall, we concluded from the performance data and information that:

- Online auctions were more effective in producing higher average prices for items than were live auctions.

- Both online and live auctions had high sales rates (more than 90 percent of the items were sold).

- For online auctions, the average number of years in service for capitalized items, excluding servers, was 15.39, indicating these items had long usage at the University and were near or at full depreciation at the time of sale.

- Additionally, for capitalized items excluding servers that were sold online, the University realized an average 15.25 percent recovery of the original costs.

- For our 29 frequently listed item types, both capitalized and expensed, that were sold online, an approximately 75 percent or better sales rate was realized for each item type. The one exception was Display Cases. Also, for our category of “All Other Surplus Items” for more infrequently listed items, the combined sales rate was over 90 percent.

We also developed and conducted a survey of University departments’ Property Managers that consisted of 14 items. There were 152 Property Managers and we received responses from 81 of them (a 53 percent response rate).

We concluded that Property Managers’ responses to our survey were generally positive. However, the survey obtained many write-in comments/suggestions from Property Managers that are helpful to Surplus Property management.

We had four recommendations for the Surplus Property program to address the issues noted above:

1) Consider adding the following important areas covered by the selected peer universities’ policies and procedures: 1) required training for the identification and handling of hazardous materials, 2) responsibility for shipping fees, and 3) reimbursements for equipment acquired with contracts or grants funding.

2) Continue its recent initiative (March 2015) to use electronic versus paper forms as a better way of documenting surplus property items and their dispositions. Additionally, the Controller’s Office should consider acquiring property management software that allows for better...

\(^3\) Other than computers, there were no other types of equipment with hard drives, such as some copiers, present at the warehouses during our site visits.

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record keeping and integration with other University software systems.

3) Continue efforts to obtain sales tax exemption certificates from all buyers who pay no sales taxes when they purchase surplus property via the University’s public online auction site operated by Public Surplus (or other means). For all buyers for whom the University’s Surplus Property program cannot verify their tax exemption statuses, the Controller’s Office should confer with its Tax Services Office concerning remitting these uncollected sales taxes to the Florida Department of Revenue.

4) Review the comments received from our Office’s survey of University departments’ Property Managers as part of this audit, to identify ways to improve the University’s Surplus Property program to make it more responsive to its users.

Management identified and developed actions to address the above recommended enhancements.

Audit of Capital Construction Multiplier Rates – Johnston Building Annex
Constructed by Peter Brown
Construction

The purpose of this audit was to provide assurances that the multiplier rates used in the billing of construction labor hours for the Johnston Building Annex were accurate. The Johnston Building Annex was a $16 million construction project that was overseen by the CM Peter R. Brown Construction, Inc. (Peter Brown). Of this amount, approximately $1,018,000 was billed to the University for the CM’s project employees’ time.

Our objective was to:

1) Determine if costs associated with the capital construction multiplier rates for the Johnston Building Annex project were reimbursable, properly supported, and billed at actual costs or in accordance with the construction agreement.

Overall, we concluded the rates billed by the CM were overstated. Not only were numerous benefit components of the multiplier rates overstated, but the base salary rates for 13 of the 15 project employees were higher than their actual salary rates for at least a portion of the time that the employees charged the project. These errors resulted in the University overpaying the CM $156,518 in labor costs.

In addition to these errors, we determined that FDC was not enforcing its policy to have attestation engagements performed concerning the CMs’ multiplier rates by a CPA annually, as no such engagement was done for this project.

We had two recommendations to address the overpayments and risks identified during the audit:

1) Request reimbursement of $156,518 from the CM, which is the total amount of overpayments made by the University that we identified for the audit period.

2) Begin enforcing its requirement of CPA attestations concerning CMs’ multiplier rates during GMP negotiations. The policy should be revised to state that the CPA firm’s staff person(s) directly performing the work should have experience performing attestation engagements and at least three years of experience auditing construction projects. The policy should also be revised to state a requirement that the CM provide salary and multiplier supporting documentation when

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submitting the multiplier templates. In addition, the policies and procedures should include language stating that it is the responsibility of the CM to notify FDC of any changes to the multipliers—whether increases or decreases.

Actions to address the above recommended enhancements were identified and developed.

Audit of Capital Construction Multiplier Rates — University Housing Replacement — Phase One Constructed by Culpepper Construction Company

The purpose of this audit was to provide assurances that the multiplier rates used in the billing of construction labor hours for the University's Housing Replacement - Phase One project were accurate. The University Housing Replacement - Phase One project is a $55.4 million budgeted construction project that was being overseen by the CM Culpepper Construction Company, Inc. (Culpepper). Of this amount, approximately $949,612 had been billed to the University as of November 25, 2014 for the CM's project employees' time, while $1,469,953 had been budgeted for this purpose for the entire Phase One project.

Our objective was to:

1) Determine if costs associated with the capital construction multiplier rates for the University

Housing Replacement - Phase One project were reimbursable, properly supported, and billed at actual costs or in accordance with the construction agreement.

Overall, we concluded the rates billed by the CM were overstated, which was primarily due to numerous benefit components of the multiplier rates being overstated. These errors resulted in the University overpaying the CM $32,653 in labor costs.

In addition to these errors, we determined that FDC was not approving changes to project staff that could have an effect on the labor cost line item of the GMP and was not enforcing its policy to have attestation engagements performed concerning the CMs' multiplier rates by a CPA annually, as no such engagement was done for this project.

We also noted that there was no FDC written guidance available to CMs on allowable vehicle expenses.

We had four recommendations to address the overpayments and risks identified for the period audited:

1) Request reimbursement of $32,653 from the CM, which is the total amount of overpayments made by the University that we identified for the period audited. In addition, FDC should instruct the CM to use the audited multiplier rates in requesting reimbursement for labor costs through the remainder of the construction project—unless there are subsequent changes to project employees’ salaries/multiplier components.

2) Approve changes in project staff through an amendment to the CM contract if the changes could have an effect on the labor cost line item of the GMP.

3) Begin enforcing its requirement of CPA attestations concerning CMs' multiplier rates during GMP negotiations. The policy should be revised to state that the CPA firm's staff person(s) directly performing the work should
have experience performing attestation engagements and at least three years of experience auditing construction projects. The policy should also be revised to state a requirement that the CM provide salary and multiplier supporting documentation when submitting the multiplier templates. In addition, the policies and procedures should include language stating that it is the responsibility of the CM to notify FDC of any changes to the multiplier—whether increases or decreases. Further, the policy should state that any new project employees also require CPA-attested multiplier templates.

4) Provide written guidance to CMs on what types of vehicle expenses (e.g., fuel, insurance, repairs, depreciation, etc.) are considered allowable for each type of project employee.

Actions to address the above recommended enhancements were identified and developed.

In all, we completed five construction audits during fiscal year 2014-15—a broad-scope, comprehensive audit and four focused audits of individual CMs’ multiplier charges. In total for these five construction audits, we identified $421,278 in overpayments by the University to the CMs. At the time of this report all but $144,609 of this total amount had been recovered by the University.

Audit of Florida State University Schools
IT and Data Safeguarding and Risk Assessment

The OIGS in collaboration with Information Technology Services (ITS) was requested by management to identify and help mitigate risks to information technology and data maintained by campus units that are not managed by ITS.

The purpose of this audit was to review internal controls in place to protect the confidentiality, integrity, and security of confidential financial and personal identifying information managed by Florida State University Schools (FSUS) from August 2014 to April 2015.

Our objectives were to determine if protected, confidential, or sensitive information is processed, transmitted, or stored by FSUS or a contracted vendor of computer services; the risk of unauthorized access to identified protected, confidential, or sensitive information assets; and identify ways to reduce the risk of such unauthorized access.

We concluded:

- Risk Assessments are not being conducted;
- Privacy and security awareness and training is not being provided;
- User authorization procedures need to be strengthened;

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• Confidentiality statements are being reviewed and signed and background checks are on file for employees tested;

• Computing devices are running unsupported operating systems and non-contracted anti-virus/anti-malware software;

• Procedures are not in place for off-site storage of backup data and applications;

• There was no central management of Anti-Virus/Anti-Malware software;

• Physical security, environmental, and operational controls over network and server rooms need to strengthened;

• Criminal Justice procedures were not formalized;

• Policies and procedures for terminated employees e-mail accounts need to be developed; and

• Procedures to manage computer logs for user activities and events are not in place.

We recommend FSUS improve security controls as follows: (1) Research and review risk assessment programs from authoritative sources and use them as a guide to develop, document, and implement procedures to perform risk assessments; (2) Implement an employee security awareness and training program; (3) Review the firewall service agreement and ensure vendor support is renewed and current patches and updates are applied to the firewall device; (4) Develop and implement a strategy and procedures to store backup media off-site; (5) Create a mechanism to centrally manage anti-virus/anti-malware software; (6) Evaluate network/server rooms and implement procedures to address findings/recommendations noted in the audit; (7) Document procedures on how criminal justice information is processed, transmitted, and stored; (8) Work with Information Security and Privacy Office (ISPO) to develop and implement e-mail procedures to govern how terminated employee e-mail accounts are managed; and (9) Work with the ISPO administrators to develop a plan to run credentialed NeXpose scans against FSUS computing assets.

An action plan was developed by management to address each of these identified areas.

Audit of University-Owned Vehicles

We have conducted an audit of University-owned vehicles to determine if they are being timely maintained and whether vehicle maintenance and repair records are kept to document and manage services performed. Our audit also included a determination of whether University departments are verifying that employees driving University-owned vehicles have a current valid driver’s license.

The primary objectives of our audit were to determine whether:

1) University-owned vehicles are being timely maintained as evidenced by maintenance and repair records; and

2) Departments have adequate controls to verify that individuals driving University-owned vehicles have a current valid driver’s license.

Our audit intended to cover the previous two calendar years of vehicle maintenance records to the date of our fieldwork; calendar years 2013 and 2014.
through February 2015. However, determining the
time elapsed/mileage between oil changes required
that we review the two most recent oil changes
which, in some instances, included oil changes that
extended back to October 2009.

Based on our review of a sample of departments
managing University-owned vehicles, we concluded
that departments generally are not maintaining their
vehicles in a timely manner and generally are not
maintaining vehicle maintenance and repair records.
We also noted there is no process in place to ensure
that auto recalls for safety related issues are
completed on University-owned vehicles. Further,
while University policy requires departments to
obtain a copy of driver’s licenses for employees who
are required to drive as a regular element of their job
responsibility and periodically check the licenses of
employees who only occasionally drive as part of
their job duties, the policy does not require
verification that the driver licenses are valid before
an employee is permitted to drive a University-
owned vehicle. University departments sampled did
not always maintain a copy of driver’s licenses on
file for employees who drive as a regular element of
their job responsibility and did not consistently
conduct annual reviews to determine whether the
licenses continued to be valid, as required by policy.
Lastly, the majority of departments did not require
that driver’s licenses be presented by employees
who drive only occasionally.

We noted the following:

We have six recommendations to address issues
identified during the audit. Specifically:

- University Finance and Administration
  management should consider implementing a
  vehicle management system and centralizing
  vehicle records;

- University Finance and Administration
  management should establish a procedure to
  confirm that auto recalls are completed;

- University policy should be revised to require
  verification that driver’s licenses are valid
  before any employee is permitted to drive a
  University-owned vehicle; and

- University Finance and Administration should
  either provide for central driver’s license
  validations and driver approval or establish a
  procedure to monitor departments with
  University-owned vehicles to ensure that
  driver’s license validity is verified before any
  employee is permitted to drive a University-
  owned vehicle and that driver’s license validity,
  for employees who drive as a regular element of
  their job responsibility, is verified annually and
  documentation of that verification is retained.

Management developed an action plan to address
each of these recommendations.

In Progress and Carry Forward

At fiscal year-end we had audits in various stages of
progress. Some of them were close to being finished
while others were in the early stages of the process.

Audits in progress at fiscal year’s end were:

- Police Evidence Room;
- Seminoles Boosters - College Town Project;
- Working Capital Trust Fund;
- Student Financial Aid - Campus Solutions;*

* This audit was postponed during fiscal year 2014-15 at
  the request of the then Interim Provost.
  Office of Inspector General Services
Follow-up Activity

In conformance with the International Standards for the Professional Practice of Internal Auditing, the OIGS follows up on audit observations and other significant issues to determine if reported planned actions have been taken in response to our observations. Follow-up is performed every six months and all observations are followed up on until final resolution.

Implementation of recommendations during this fiscal year was at 70 percent. The pie charts below show the breakdown for implementation for each six-month period and the total for the year.
Types of Investigative Activity

Standard Investigations (SI) are opened from complaints involving violations of applicable laws, rules, or policies and procedures that could result in criminal convictions, terminations, or disciplinary action.

Preliminary Inquiries (PI) are opened when the OIGS is not certain whether an investigation is warranted. In these cases, we conduct additional fact-finding and make a determination whether to proceed with investigation or whether the complaint can be closed or resolved without need for further investigation. Even if an investigation is not warranted, occasionally these cases may result in an Investigative Memorandum to notify management of our findings and recommendations that may be of interest and helpful to the University.

Management Referrals (MR) are opened for complaints that appear to be easily investigated and resolved by management of the appropriate college or department. Our office refers the complaint for review and action deemed appropriate and requests management follow up with our office to provide a resolution and explain any corrective actions taken. Our office closes the case if the management response appears to address the concerns satisfactorily. However, if the concerns, in our opinion, are not adequately addressed or if management identifies other concerns, our office may initiate further investigation.
No Investigative Action (NI) is taken when complaints are not supported by facts, are not violations of law or policy, or have already been investigated or resolved. These complaints are closed to the file for reference purposes only. We also take no investigative action when complaints are not within our jurisdiction. These complaints are referred appropriately.

Management Assistance (MA) cases are opened when University management requests that our office provide specific information. Should any potential violations of law or policy be identified in the course of providing assistance, the OIGS reserves the right to initiate an investigation.

Criminal Assistance Investigations (CI) are opened when the OIGS receives allegations of a criminal nature that are referred to the appropriate law enforcement agency. In these cases, the law enforcement agency is the lead and the OIGS provides investigative assistance as requested.

**TYPES OF INVESTIGATIVE WORK PRODUCTS**

Investigative Reports are to report the results of an investigation into allegations determined to be significant to University operations and that reflect a violation of law or University policy. The Investigative Report will conclude as to whether allegations made are determined to be substantiated, unsubstantiated, or unfounded.

Investigative Memorandums are to report to management the results of an investigation when allegations are not determined to be significant to University operations and/or do not reflect a significant violation of law or University policy. Generally, these reports will result in conclusion about the issue as compared to the more formal and detailed investigative report.

Management Assistance Memorandums are to respond to management requests for specific information. Once provided to management, a determination will be made as to whether the request has been satisfied without further staff action.

Controls and Compliance Reports are to report internal control and/or compliance weaknesses identified by staff during an investigative project. Such limited scope services are a by-product of the investigative project but are not integral or directly related to the scope, objectives, or findings of that project. Such findings are provided to management for information, consideration, and corrective actions. In such instances, a full audit is not warranted and the limited scope of services provided is clearly identified.

Closure Forms, Letters, or Emails are to document findings and conclusions identified during an investigative project when predication or justification to continue investigative activity no longer exists.
INVESTIGATIVE ACTIVITY
For Fiscal Year 2014-15

At the close of the prior fiscal year ended June 30, 2014, we had 7 Standard Investigations, 2 Preliminary Inquiries, and one Management Assistance that remained opened for a total of ten cases carried over into the 2014-15 fiscal year.

Between July 1, 2014 and June 30, 2015, the OIGS opened 43 new cases. Our office initiated 4 of the 43 new cases. The other complaints and issues were reported through the EthicsPoint Hotline (22), by University employees or students (14), or by external individuals or other state agencies (3). Together with the 10 cases carried over from the prior fiscal year, the OIGS engaged in 53 investigative projects during 2014-15.

The OIGS reviews and evaluates each complaint and request received to determine how it should be handled. Of the 43 new cases opened, we opened 5 Management Assistance cases, 6 Preliminary Inquiries, referred 11 Management Referral cases to management for review and action deemed appropriate and opened one Criminal Assistance Investigation case referred to FSUPD for which we provided investigative assistance. Twenty (20) cases were closed at intake because the allegations were not a violation of law or policy, were not sufficiently supported by fact, or were not within our jurisdiction.

However, we brought one of the cases that was closed at intake because the allegation was not a violation of law or policy to management’s attention as a needed process improvement. Because OIGS brought this issue to management’s attention, two University departments were able to work together to resolve the problem by changing their process and procedures, which will prevent future miscommunications and improve the effectiveness and efficiency of the University.

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Forty-nine of the 53 investigative projects underway were completed and/or closed in 2014-15. Of these 49 cases, 20 were closed to the file at intake; five (5) of the other 29 cases were opened as Standard Investigations, 8 were closed or resolved in the Preliminary Inquiry phase, 6 were Management Assistance cases, and 10 were Management Referrals. Four cases were in process at fiscal year-end and carried over into the 2015-16 fiscal year.

<table>
<thead>
<tr>
<th>TYPES OF ISSUES INVESTIGATED</th>
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<tbody>
<tr>
<td>Ethics</td>
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<tr>
<td>Misuse of University Resources</td>
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<tr>
<td>Misconduct</td>
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<tr>
<td>Insufficient Policy and Procedures</td>
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<tr>
<td>Fraud/Theft</td>
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<tr>
<td>Internal Controls</td>
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<tr>
<td>Disclosure of Confidential Information</td>
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<tr>
<td><strong>TOTAL</strong></td>
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</tbody>
</table>

In addition to conducting the above investigations, the OIGS Chief Audit Officer serves as the University’s Ethics Officer for purposes of Federal Sentencing guidelines, and for receiving all complaints that allege a need for whistle-blower protection pursuant to Section 112.3189, Florida Statutes. During the fiscal year, the Chief Audit Officer received one whistle-blower complaint, which was counted as one of the 38 new cases received in 2014-15 and was found not to qualify for investigation under the whistle-blower act.

<table>
<thead>
<tr>
<th>WORK PRODUCTS COMPLETED</th>
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<tbody>
<tr>
<td>Investigative Reports</td>
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<tr>
<td>Investigative Memorandums</td>
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<tr>
<td>Management Assistance Memorandums</td>
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<tr>
<td>Controls and Compliance Memorandums</td>
</tr>
<tr>
<td>Closure Forms, Emails, and Letters</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
</tr>
</tbody>
</table>
Direct Services

Each year, the OIGS conducts a risk assessment of University activities and services. The risk assessment process includes interviews with the University President, Vice Presidents, key administrators, and the Chairperson of the Finance, Business, and Audit Committee of the Board of Trustees. Feedback received through these interviews contributes significantly to the successful development of our Annual Work Plan.

The Annual Work Plan contains a detailed schedule of projects planned for the year. Estimated hours are allocated to each project in an effort to optimize utilization of OIGS staff.

Our direct service level of effort for 2014-15 was 71 percent. We achieved this level of direct service notwithstanding staff turnover in two of our five Senior Auditor/Investigator positions due to staff departures.

The two graphs that follow show the planned versus actual direct service effort for fiscal year 2014-15 and an eight-year trend of direct service effort for fiscal years 2007-08 through 2014-15.

Activity Charts
Provision of Training to the University Community

The OIGS is keenly aware of the importance of training and its benefits to the University and to its employees' professional development. As such, we are fully committed to this essential component of our services.

The OIGS will provide training to the University's employees, including those outside Tallahassee at the Ringling Museum of Art in Sarasota and our Panama City Campus, in the following areas:

- Ethics;
- Internal controls,
- Fraud awareness, prevention, and detection; and
- Other topics of interest to the requesting entity.

Additionally, the OIGS offers presentations to academic classes at the request of instructors. This fiscal year, some of our staff members were guest speakers for a graduate course in the University's Askew School of Public Administration and Policy and also a class at Florida A&M's School of Business and Industry.

Professional Activities and Certifications

The OIGS is proud of the experience and professionalism of its staff. During 2014-15, we
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continued our commitment to external organizations that support higher education and internal auditing activities. OIGS staff members belong to a number of professional organizations including the following:

- Association of College and University Auditors;
- Institute of Internal Auditors;
- Association of Government Accountants;
- Association of Inspectors General;
- American Institute of Certified Public Accountants;
- Florida Institute of Certified Public Accountants;
- American Society of Public Administration;
- Association of Certified Fraud Examiners; and
- Information Systems Audit and Control Association.

Our staff is actively involved with several professional boards. These include the:

- Federal Accounting Standards Advisory Board;
- Audit Committee – Association of Government Accountants;
- Tallahassee Chapter of the Association of Government Accountants;
- Certified Government Financial Manager Board – Association of Government Accountants; and
- Tallahassee Chapter of the Institute of Internal Auditors.
- ISACA Academic Relations Chair (Board Member)

**Certifications**

Our staff maintains various professional certifications demonstrating their continued commitment to the audit profession. Current certifications held by staff include:

- Certified Internal Auditor;
- Certified Public Accountant;
- Chartered Global Management Accountant;
- Certified Fraud Examiner;
- Certified Information Systems Auditor;
- Certified Government Financial Manager;
- Certified Inspector General
- Certified Inspector General Investigator;
- Certified Inspector General Auditor;
- Certified Risk Management Assurance; and
- Certified Government Auditing Professional.

In addition to professional certifications, advanced degrees held by staff include:

- Master of Business Administration;
- Master of Science – Library Science;
• Master of Arts – Spanish;
• Master in Public Administration;
• Master of Science – Instructional Systems;
• Master of Social Work – Program Evaluation; and
• Doctor of Philosophy – Public Administration.

 projects completed during 2014-15 are indicated in the following chart:

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>AVERAGE RATING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professionalism</td>
<td>4.86</td>
</tr>
<tr>
<td>Relations of Staff</td>
<td>4.86</td>
</tr>
<tr>
<td>Communications</td>
<td>4.93</td>
</tr>
<tr>
<td>Technical Knowledge</td>
<td>4.71</td>
</tr>
<tr>
<td>Helpfulness</td>
<td>4.43</td>
</tr>
<tr>
<td>Report was Unbiased</td>
<td>4.50</td>
</tr>
<tr>
<td>Report was Issued Timely</td>
<td>4.29</td>
</tr>
<tr>
<td>Clear and Accurate Report</td>
<td>4.50</td>
</tr>
<tr>
<td>Provided Value</td>
<td>4.29</td>
</tr>
<tr>
<td><strong>Overall Average</strong></td>
<td><strong>4.60</strong></td>
</tr>
</tbody>
</table>

We recognize there is always room to improve our services as we continually strive for excellence.

Post-Project Surveys

Upon completing our audits and major consulting engagements, the OIGS provides the individuals with whom we worked most closely on our projects the opportunity to evaluate our services through post-project surveys. These survey results provide the OIGS with valuable feedback and are intended to help us improve our operations.

Our University colleagues evaluate us on a scale from 1 to 5 (with 5 being the most favorable) in several categories, and provide an overall rating as to the value provided by the engagement. The compiled results of the surveys received for

Upcoming Year

We look forward to working with our colleagues as we implement our 2015-16 Annual Work Plan and to the many challenges the new fiscal year will likely bring.

The chart below reflects our expected allocation of personnel resources during 2015-16.
Allocation of Time for 2015-16

- Investigations: 1%
- Audits: 40%
- Contingency: 53%
- Audit Management/Administration: 6%
### Annual Work Plan 2015-16

#### A. Audit Projects Carried Forward from 2014-15 Work Plan

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Seminole Boosters – College Town</td>
<td>140</td>
<td></td>
</tr>
<tr>
<td>FSU Police Department Evidence Room</td>
<td>36</td>
<td></td>
</tr>
<tr>
<td>Working Capital Trust Fund</td>
<td>540</td>
<td></td>
</tr>
<tr>
<td>Campus Solutions – Student Financial Aid</td>
<td>700</td>
<td></td>
</tr>
<tr>
<td>College of Arts and Sciences – History Department - Business Practices Enhancement Program</td>
<td>433</td>
<td></td>
</tr>
<tr>
<td>University-Wide Courtesy Vehicles</td>
<td>244</td>
<td></td>
</tr>
<tr>
<td>Jeanne Clery Act – Annual Security Report</td>
<td>300</td>
<td></td>
</tr>
<tr>
<td>Required Filing of Commission on Ethics Form 1 – Statement of Financial Interests</td>
<td>232</td>
<td></td>
</tr>
<tr>
<td>University Housing – Cash Collections</td>
<td>540</td>
<td></td>
</tr>
<tr>
<td>Florida Medical Practice Plan</td>
<td>360</td>
<td></td>
</tr>
<tr>
<td>FSU Athletics Summer Camps</td>
<td>200</td>
<td></td>
</tr>
</tbody>
</table>

Total Hours for Audit Projects Carried Forward from 2015-16 Work Plan: **3,725**

#### B. New Audit Projects for 2015-16

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>DSOs External Audits – Financial Report Reviews</td>
<td>58</td>
<td></td>
</tr>
<tr>
<td>DSO IRS Form 990 Reviews</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>State University System Performance-Based Funding</td>
<td>698</td>
<td></td>
</tr>
<tr>
<td>Management of McGladrey Construction Audit of University Housing Replacement Phase II</td>
<td>52</td>
<td></td>
</tr>
<tr>
<td>Management of McGladrey Construction Audit of Doak Campbell Stadium Improvements</td>
<td>40</td>
<td></td>
</tr>
<tr>
<td>Fraud and Internal Controls Training to University Entities</td>
<td>40</td>
<td></td>
</tr>
<tr>
<td>Student-Athlete Satisfactory Academic Progress</td>
<td>600</td>
<td></td>
</tr>
</tbody>
</table>

Office of Inspector General Services
<table>
<thead>
<tr>
<th>Board of Trustees - Consent Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital Projects Broad Scope – Earth, Ocean, and Atmospheric Science (EOAS*)</td>
</tr>
<tr>
<td>Athletics – Select NCAA Compliance</td>
</tr>
<tr>
<td>University Coordination of Response to International Incidents</td>
</tr>
<tr>
<td>Server Security – Florida Center for Public Affairs</td>
</tr>
<tr>
<td>Server Security – College of Motion Picture Arts</td>
</tr>
<tr>
<td>Graduate Student Fee Waivers and Health Insurance Subsidies</td>
</tr>
<tr>
<td>Follow-up of Consultant Review of Seminole Boosters Internal Controls</td>
</tr>
<tr>
<td>Follow-up Activities Related to the College of Business Student Investment Fund</td>
</tr>
<tr>
<td>Title IX</td>
</tr>
<tr>
<td>Student Tuition and Fees*</td>
</tr>
<tr>
<td>Business Practices Enhancement Program – John and Mable Ringling Museum of Art*</td>
</tr>
<tr>
<td>Chemical Inventories*</td>
</tr>
</tbody>
</table>

**Total Hours for New Audit Projects for 2015-16**: 5,412

<table>
<thead>
<tr>
<th>Follow-up Projects for 2015-16</th>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Follow-up activities for previously completed audits</td>
<td>205</td>
<td></td>
</tr>
</tbody>
</table>

**Total Hours for Follow-up Projects for 2015-16**: 205

<table>
<thead>
<tr>
<th>Contingency for 2015-16</th>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>These hours are for new, unplanned projects given priority during the fiscal year.</td>
<td>197</td>
<td></td>
</tr>
<tr>
<td>Business Practices Enhancement Program – College of Criminology, and Rates Charged to Sponsored Research Contracts and Grants by Specified Scientific Facilities have priority status as audits to begin during fiscal year 2015-16, provided we have unforeseen available hours for them.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total Hours for Contingency for 2015-16**: 197

---

3 We have planned that these four audit projects indicated by an asterisk (*) will be carried over with additional hours and completed in the next fiscal year, 2016-17.
### E. Investigations for 2015-16

<table>
<thead>
<tr>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1,142</td>
<td></td>
</tr>
</tbody>
</table>

**Total hours for Investigations for 2015-16**

1,142

**Total Direct Service Hours for 2015-16**

10,681

### F. Audit Management and Administration for 2015-16

<table>
<thead>
<tr>
<th>Hours</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>7,095</td>
<td></td>
</tr>
</tbody>
</table>

**Total Audit Management and Administration**

7,095

**Total Hours for 2015-16**

17,776
MEMORANDUM

TO: President John Thrasher
FROM: Sam M. McCall, Chief Audit Officer
SUBJECT: Agenda items for the March 4, 2016, BOT Meeting:

Audit Policy for Direct Support Organizations and FSU Auxiliaries

Request for Approval to be placed on the BOT Consent Calendar

Please find enclosed a policy that will describe the process to be followed by Direct Support Organizations in the operation of a DSO Audit Committee and the selection of external auditing firms to conduct annual audits of DSO's. I respectfully requests the policy to be included on the BOT Consent Agenda for the March 4, 2016, BOT meeting.

Thank you.
Florida State University
Direct Support Organizations
Proposal for Composition of DSO Audit Committees and Selection of External Audit Firms

1. Each DSO shall have an audit committee made up of at least three Board members. All members shall be financially literate and at least one member shall have strong professional working experience in accounting, business, finance, audit, and internal controls. No member of the audit committee may be a member of DSO management. In the event the DSO is unable to identify a qualified audit committee member, the DSO Board may request the Florida State University Board of Trustees Business, Finance and Audit Committee to appoint a qualified person to sit on the DSO audit committee.

2. No audit firm may have an audit contract for more than five continuous years including previous years already served as the audit firm for the DSO.

3. If five or more years have already been served by the current audit firm, a new request for proposal shall be issued to select a new audit firm for the 2016-2017 fiscal year.

4. For current audit firms that have served for less than five years, the DSO, at its option, may extend the current contract to a total of five years including years previously served as the auditor.

5. At the end of the five year period as applicable above, a new RFP shall be issued.

6. The RFP issued shall identify criteria for evaluation of audit firm proposals to include, for example, areas such as: experience and ability; understanding of applicable laws, rules, and regulations; familiarity auditing similar organizations; project requirements, approach and method; and fee proposal.

7. The audit committee shall first give consideration to the quality of the audit proposal in terms of work to be performed and after such deliberation the audit committee shall take into consideration the proposed fee. Weights and scoring processes shall be based on the priorities and needs of the DSO.

8. Negotiations shall then be held with the first ranked audit firm to agree on a contract to include the audit fee and related expenses.

9. If a contract cannot be agreed upon, negotiations shall be formally ended with that audit firm and negotiations shall be conducted with the second ranked firm and so on until a contract is agreed upon.
THE FLORIDA STATE UNIVERSITY

Office of Inspector General Services
Suite 407 Westcott Building
222 South Copeland Street
P. O. Box 3061390
Tallahassee, Florida 32306-1390

February 16, 2016

MEMORANDUM

TO: President John Thrasher
FROM: Sam M. McCall, Chief Audit Officer
SUBJECT: Agenda Items for the March 4, 2016, BOT Meeting:

Updated Office of Inspector General Services Audit Charter

Request for Approval to be placed on the BOT Consent Calendar

Please find enclosed an updated Office of Inspector General Services Audit Charter. I respectfully requests this Charter to be included on the BOT Consent Agenda for the March 4, 2016, BOT meeting. This document was previously presented and discussed at the October BOT Business, Finance and Audit Committee meeting.

Thank you.

Attachment
February 16, 2016

Florida State University
Office of Inspector General Services
Audit Charter

1. Introduction
The Office of Inspector General Services (OIGS) provides internal auditing services at Florida State University. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve University operations. It helps the University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

The Office also performs investigations of alleged fraud, waste, abuse or other wrongdoing which could result in the loss or misuse of University resources. Such wrong-doing may come to the attention of the Office during the audit process or through reporting by University faculty, staff, students, or the general public.

2. Authority for the Office
The Florida State University President and Board of Trustees (BOT) initially approved a charter for the Office of Audit Services in September 2003. Subsequently, in November 2012, the President approved changing the name from the Office of Audit Services to the Office of Inspector General Services (OIGS).

3. Vision
The OIGS vision is to be an exemplary professional audit and investigative organization that adds value, promotes accountability, fosters transparency and understanding, and to be viewed by the University as essential to the proper functioning of University controls and operations.

4. Mission
The OIGS’ mission is to provide an independent, objective, and comprehensive program of auditing and investigations; to advance accountability through the provision of assurance and consulting services and investigations; and to actively work with University Boards and Committees, management, faculty, and staff in identifying risks, evaluating controls, and making recommendations that promote economical, efficient, effective, equitable, and ethical delivery of services.

The OIGS, headed by the Chief Audit Officer (CAO), provides a central point for coordinating and carrying out activities that promote accountability, integrity, and objectivity.
February 16, 2016

5. **Organization**
The Chair of the Audit Committee of the BOT will work in concert with the University President regarding hiring and termination of the CAO. The Chief Audit Officer will report directly and administratively to the University President, functionally to the Audit Committee Chair, and he/she shall have unrestricted access to the Board of Trustees.
The Board of Trustees will:
   a. Approve the charter of the OIGS;
   b. Review the charter at least every three (3) years for consistency with applicable law, Board of Governors (BOG) and University regulations, professional standards, and best practices;
   c. Approve the risk-based annual OIGS workplan;
   d. Receive communications from the CAO on the OIGS performance relative to its plan and other significant matters coming to the attention of the CAO during the year;
   e. Provide to the President, through the Chair, an annual assessment of the performance of the Chief Audit Officer; and
   f. Make appropriate inquiries of management and the CAO to determine the existence of scope or resource limitations.

Any allegations related to wrongdoing by the CAO shall be reported to the University President and Chair of the BOT Audit Committee for their review and disposition.

6. **Code of Ethics**
All OIGS staff shall abide by the Florida Code of Ethics for Public Officers and Employees as provided for in Florida Law, any additional code of ethics or conflict of interest policy of the University, and the Code of Ethics issued by The Institute of Internal Auditors.

7. **Independence and Objectivity**
To permit independence and objectivity in mental attitude and appearance, the OIGS will remain free from interference from any element in the University to include matters of selection, scope, procedures, frequency, timing, report content, and report issuance. The OIGS will have no direct authority or responsibility over any of the activities it reviews. The OIGS will not implement internal controls, develop and write policies or procedure, design or install systems, or engage in any other activity that may impair independence or objectivity. The OIGS may review management initiated initiatives and provide advice and counsel to University departments. Management assistance activities that the OIGS may perform shall meet professional auditing standards and shall result in management accepting responsibility for the results of the services.
February 16, 2016

OIGS staff will exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activities or processes being examined. OIGS staff will make a balanced assessment of all relevant circumstances and not be unduly influenced by their own interests, or those of others, in forming judgments.

8. **Authority and Access to Records**
The OIGS provides audit and investigative services to all entities of Florida State University, including schools, colleges, departments, auxiliary enterprises, and Direct Support Organizations (DSOs). Accordingly, the OIGS is authorized to:
   a. Have unlimited and unrestricted access to all data, books, records, files, property, information systems, and personnel of Florida State University and its DSOs and component units as deemed necessary to carry out duties and responsibilities;
   b. Have “right-to-access” language in all University contracts that allow OIGS access to contractor records supporting amounts due or received, amounts paid or owed, or documentation supporting work products prepared for any University entity;
   c. Allocate resources, establish schedules, select subjects, determine scopes of work, and apply techniques required to accomplish objectives; and
   d. Obtain essential assistance and cooperation of personnel in areas of the University where audits and investigations are performed.

9. **Standards and Professionalism**
Audit and compliance activities will be governed by adherence to The Institute of Internal Auditor’s Professional Practices Framework, which is composed of the Core Principles, the Definition of Internal Auditing, the Code of Ethics, and the International Standards for the Professional Practice of Internal Auditing. Other professional auditing standards may be followed, as applicable to the audit engagement.

Investigative services will be governed by adherence to Principles and Standards for Offices of Inspector General issued by the Association of Inspectors General.

The OIGS will adhere to and be guided by applicable Florida law, as well as State University System Board of Governors, Florida State University Board of Trustees, and University regulations, policies, and procedures.
10. **Scope of Work**

The OIG’s scope of internal audit and investigative work will include all University colleges, schools, departments, auxiliaries, DSOs and component units. The scope of work will help to ensure that significant:

a. Risks are appropriately identified and managed;
b. Assets and resources are properly controlled and safeguarded;
c. Financial and operational information is accurate and reliable;
d. State and federal laws, rules, and regulations are complied with; and

e. Programs and operations are efficient and effective.

The scope of internal auditing work encompasses, but is not limited to, the examination and evaluation of the adequacy and effectiveness of the University’s risk management, control, and governance processes. All such work is performed with the overarching understanding that establishment of adequate risk management, controls, and governance processes and monitoring thereof are a management responsibility.

11. **Duties and Responsibilities**

Responsibilities of the OIGS and the CAO are to:

a. Serve as the University Compliance and Ethics Officer for purposes of complying with federal sentencing guidelines.
b. Develop an internal audit workplan based on a prioritization of the audit universe using a risk-based methodology, including input from the BOT, University President, and senior management. The CAO will review and adjust the plan as necessary in response to changes in the University’s activities, risks, operations, programs, systems, and controls. Any significant deviation from the approved audit workplan will be discussed with the BOT Audit Committee and communicated, as appropriate, to the President and BOT.
c. The approved workplan shall be provided to appropriate University management and the BOG’s Office.
d. Include in the annual internal audit workplan a schedule of planned audit hours to be applied for the year. The CAO will communicate the impact of resource limitations and significant interim changes to the BOT.
e. Prepare a long-range audit workplan covering no less that a three-year period. The workplan will be revised as needed to meet the requests and needs of the President, Board of Trustees, and the University.
f. Perform assurance and consulting engagements and investigations in accordance with the annual workplan taking into consideration any special tasks or projects requested by University management and the BOT Audit Committee.
g. For each audit prepare and distribute a final draft report to the person(s) responsible for supervision of the program function or operational unit who shall respond to the identified issues and recommendations within 20 working days. Such response shall include management's overall response about the audit and proposed actions to address issues and recommendations, the person(s) directly responsible for addressing the identified issues, and a target date for estimated completion.

h. For each audit prepare and timely issue a final written audit report to the BOT, President, BOG, other Boards and Committees, and senior management most responsible for the program, activity, or function audited. The final report will include management's overall response and proposed actions to address issues identified and related recommendations. As needed and appropriate in the circumstances, any CAO rebuttal or clarifications to management's response shall be included in the final written audit report or otherwise made available.

i. Protect all audit working papers and notes related to an audit, and all information received, produced, or derived from an investigation, until such time as a final audit or investigative report is issued.

j. Review management's follow-up activities intended to address observations or recommendations of external audit or regulatory agencies to include any reports issued by the Auditor General, the Office of Program Policy and Government Accountability, a federal audit organization or its subcontractors, DSO external auditors, or others. All significant findings will remain as open issues until cleared.

k. Conduct follow-up activities for OIGS issued audits at least every six months. As warranted by the specific issues, follow-up activities may occur at any time to protect University financial and program operations.

l. Report the results of any investigation performed in accordance with OIGS policies and procedures.

m. Periodically report in writing and verbally upon request to the BOT, President, and senior management on OIGS activities as well as its performance relative to: its workplan; significant risk exposures and control issues, including fraud/abuse risk, and governance issues; and other matters as needed or requested.

n. Report at every Board of Trustees Audit Committee meeting or at other times, depending on whether there are significance issues of which the Committee should be made aware for their information, discussion, direction, and/or disposition.

o. Hire and retain professional staff with sufficient knowledge, skills, and experience, and professional certifications to fulfill the responsibilities of the OIGS, and ensure appropriate and required training and education is provided to staff in accordance with applicable professional education standards.
p. Maintain a quality assurance and improvement program that meets the requirements of standards followed. The CAO will communicate to senior management, the BOT, and BOG on the internal audit activity's quality assurance and improvement program to include the results of an external quality control review which is to be conducted in accordance with the time requirements of the applicable standards followed.

q. Investigate allegations of suspected abuse/fraudulent activities within the University and provide to University management and the BOT Audit Committee investigative reports issued.

r. Address allegations of waste, fraud, or financial mismanagement. The CAO will use professional judgment in assessing materiality such that it would be appropriate to inform the BOG Office of Inspector General and Director of Compliance of such allegations.

s. Investigate complaints received under the State Whistle-blowers Act pursuant to sections 112.3187-112.31895, Florida Statutes, as applicable.

t. Report allegations received by the OIGS that the CAO has reason to believe involve potential violations of criminal law to the University Police, other law enforcement agencies, and other responsible state or federal agencies, as appropriate.

u. Report information received of known or suspected child abuse, abandonment, or neglect committed on the property of the university or during an event or function sponsored by the University to the Florida Department of Children and Families.

v. Assist University Police and other law enforcement organizations with criminal financial and other investigations as requested.

w. Maintain a reporting system that includes mechanisms available for anonymity or confidentiality, whereby University employees and agents may report or seek guidance regarding potential or actual conflicts of interest, as well as significant abuse, fraud, or criminal conduct, without fear of retaliation. In cases where a component of the reporting system is managed by another operational unit, the CAO shall have access to reported information.

x. Provide training to the University community on internal control, risks management, fraud, abuse, and other matters for which the OIGS has expertise.

y. Maintain a proper balance of audits, investigations, and other accountability activities, with a view toward avoiding any duplication of effort with other auditors.

z. Coordinate and cooperate with external auditors and regulators, and consider the scope of their work for the purpose of providing optimal audit coverage to the University at reasonable costs.

aa. Review all DSO financial statements and the related external audit reports issued for completeness and compliance with applicable Generally Accepted Accounting
February 16, 2016

Principles, Generally Accepted Government Auditing Standards, and applicable laws, rules, and regulations.

bb. Assist and provide technical advice and support to the BOT Audit Committee in its selection of any external auditors/consultants to perform work within the University. The OIGS will have primary responsibility for implementing, coordinating, and managing such contracts involving external auditors/consultants. The OIGS will assist and provide technical advice and support to the BOT Audit committee in its oversight of DSOs that select external auditors/consultants to perform work for them.

c. Distribute to the Board of Governors, Board of Trustees, University President, and senior management an Annual Report that describes the OIGS accomplishments and significant audits and investigations conducted during the preceding year.

__________________________  __________________________
Chief Audit Officer  Date

__________________________  __________________________
President  Date

__________________________  __________________________
Finance and Audit Committee Chair  Date
MEMORANDUM

TO: John Thrasher, President

FROM: Kyle Clark, Vice President of Finance & Administration

DATE: February 15, 2016

SUBJECT: Request for Approval
2016 Affirmative Action Plan

As a contractor of the federal government, Florida State University is required by law to develop a written Affirmative Action Plan for each location with 50 or more employees in accordance with Executive Order 11246 (as amended) and the guidelines published by the Office of Federal Contract Compliance Programs in 41 CFR 60-2.

The Affirmative Action Plan reflects the University’s performance in terms of equal opportunity requirements and generates action oriented programs for improvement. In addition, it serves as a working document to develop strategies and tactics, educate faculty and staff, and monitor progress with respect to the University’s compliance, diversity, and inclusion efforts.

Attached is an Executive Summary of the University’s three Affirmative Action Plans. Upon approval by you and the Board of Trustees, the University will begin implementation of action oriented programs.

I recommend your approval.

KC/rg

Attachment

Approved
Board of Trustees
March 2016

AFFIRMATIVE ACTION PLAN

Executive Summary

Prepared by: Office of Human Resources
INTRODUCTION

Florida State University (University or FSU) is fully committed to the practice of equal opportunity and affirmative action in all aspects of employment. The Affirmative Action Plans (AAP or Plan), upon which this summary is based, have been developed with strict reliance upon the Guidelines on Affirmative Action issued by the Equal Employment Opportunity Commission (EEOC) (29 C.F.R. Part 1608).

The University is one of the nation's elite research universities, with the Carnegie Foundation's highest designation—Doctorate-granting/Very High Research Activity. FSU's 16 colleges offer more than 275 undergraduate, graduate, doctoral, professional, and specialist degree programs, including medicine and law, covering a broad array of disciplines critical to society today. Each year, the University awards over 2,000 graduate and professional degrees.

FSU is an affirmative action and equal opportunity employer supporting a culturally diverse educational and work environment. In furtherance of its dedication to diversity and inclusion, the University recognizes a broad array of protected groups: race, creed, color, sex, religion, national origin, age, disability, genetic information, veterans’ status, marital status, sexual orientation, gender identity, gender expression, and any other legally protect group. All members of the campus community are protected against discrimination or retaliation on the basis of their membership or affiliation with these and any other legally protected group.

John Thrasher, President, has overall responsibility for implementation of the Equal Employment Opportunity and Affirmative Action Program. The President has assigned primary management responsibility and accountability for ensuring full compliance with the plan to Renisha Gibbs, the Affirmative Action Officer. Ms. Gibbs has the authority, resources, support, and access to University deans, directors, and department heads necessary to ensure the effective implementation of the Affirmative Action Program. In turn, University leadership actively supports the AAP program and provides assistance when needed, making managers and supervisors aware of the AAP program and requesting their cooperation and assistance.
I. DESCRIPTION OF THE PLAN

FSU prepares an AAP for each operating location with fifty or more employees, resulting in three AAP locations in Florida: the main campus in Tallahassee, FL; the Panama City Campus in Panama City, FL; and the Ringling Museum of Art in Sarasota, FL. The main campus Plan also covers faculty and staff working at the following University branch campus locations:

- Daytona Beach, Florida
- Ft. Pierce, Florida
- Immokalee, Florida
- Miami, Florida
- Orlando, Florida
- Pensacola, Florida
- Quincy, Florida
- Sarasota, Florida
- St. Teresa, Florida

Each AAP includes: 1) a workforce analysis—a tabulation of FSU’s workforce by race and sex within job group categories; and 2) a utilization analysis—a comparison of FSU’s workforce with the 2010 U.S. Census data to determine whether minorities and females are underutilized within job group categories. When underutilization of minorities or females is identified within a job group, a placement goal is set to promote movement towards adequate representation.

In addition to the analysis of minorities and females and pursuant to regulations established by the Office of Federal Contract Compliance Programs (OFCCP), the University conducted: 1) a workforce and utilization analyses for individuals with disabilities; and 2) a hiring benchmark analysis for Protected Veterans. As U.S. Census data does not provide the requisite data on individuals with disabilities, the OFCCP established an aspirational utilization goal of 7% in each job group. Relative to Protected Veterans, the OFCCP established a 7% hiring benchmark for the University as a whole.

For the purpose of conducting meaningful workforce analyses, University faculty and staff are first grouped into segments by occupational duties, based on the Integrated Postsecondary Education Data System (IPEDS) report, and then subdivided by the level of responsibility and/or complexity of the skill set required to perform the essential functions of the position. The following EEO job group codes are utilized by the University:

- 1 - Executive/Administrative/Managerial
- 2 - Faculty
- 3 - Professionals
- 4 - Technical/Paraprofessional
- 5 - Clerical/Secretarial
- 6 - Skilled Crafts
- 7 - Service/Maintenance
II. 2015 AAP WORKFORCE PROFILE FOR RACE AND SEX

The following tables and graphs contain information pertaining to the University's 2015 workforce demographics, as determined from workforce data over the period of November 1, 2014 through October 31, 2015. Although the University’s focus goes beyond affirmative action to diversity and inclusion, the emphasis of this AAP data summary is to track the representation of females and minorities: Black, Hispanic, Asian, American Indian/Alaskan Native, Native Hawaiian/Other Pacific Islander, and Two or More Races.

The table below details the changes in race and sex of faculty and staff over the last five years for each Plan location.

Table 1 – Workforce Trending (Race/Sex)

<table>
<thead>
<tr>
<th>Location</th>
<th>Plan Year</th>
<th>Total Count</th>
<th>Percent Minority</th>
<th>Percent Female</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Campus</td>
<td>2012</td>
<td>5803</td>
<td>29.64%</td>
<td>48.53%</td>
</tr>
<tr>
<td></td>
<td>2013</td>
<td>5938</td>
<td>30.21%</td>
<td>48.48%</td>
</tr>
<tr>
<td></td>
<td>2014</td>
<td>6062</td>
<td>30.47%</td>
<td>48.98%</td>
</tr>
<tr>
<td></td>
<td>2015</td>
<td>6126</td>
<td>30.90%</td>
<td>48.81%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>6118</td>
<td>31.19%</td>
<td>48.81%</td>
</tr>
<tr>
<td>Panama City Campus</td>
<td>2012</td>
<td>93</td>
<td>12.90%</td>
<td>58.06%</td>
</tr>
<tr>
<td></td>
<td>2013</td>
<td>94</td>
<td>13.83%</td>
<td>58.51%</td>
</tr>
<tr>
<td></td>
<td>2014</td>
<td>102</td>
<td>14.71%</td>
<td>58.82%</td>
</tr>
<tr>
<td></td>
<td>2015</td>
<td>103</td>
<td>16.50%</td>
<td>61.17%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>104</td>
<td>14.42%</td>
<td>58.65%</td>
</tr>
<tr>
<td>Ringling Museum of Art</td>
<td>2012</td>
<td>112</td>
<td>10.74%</td>
<td>45.45%</td>
</tr>
<tr>
<td></td>
<td>2013</td>
<td>121</td>
<td>8.26%</td>
<td>47.93%</td>
</tr>
<tr>
<td></td>
<td>2014</td>
<td>132</td>
<td>12.12%</td>
<td>47.73%</td>
</tr>
<tr>
<td></td>
<td>2015</td>
<td>127</td>
<td>11.02%</td>
<td>51.97%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>128</td>
<td>12.5%</td>
<td>53.91%</td>
</tr>
<tr>
<td>University Total</td>
<td>2012</td>
<td>6008</td>
<td>29.03%</td>
<td>48.62%</td>
</tr>
<tr>
<td></td>
<td>2013</td>
<td>6153</td>
<td>29.53%</td>
<td>48.62%</td>
</tr>
<tr>
<td></td>
<td>2014</td>
<td>6296</td>
<td>29.83%</td>
<td>49.11%</td>
</tr>
<tr>
<td></td>
<td>2015</td>
<td>6356</td>
<td>30.27%</td>
<td>49.07%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>6350</td>
<td>30.53%</td>
<td>49.07%</td>
</tr>
</tbody>
</table>
The graphs below depict the racial and gender composition of the University workforce, by AAP location, as of October 31, 2015.

**Graph 1 – Current Workforce Composition (Race/Sex)**

1.1 – Main Campus

![Bar chart showing workforce composition by race and gender at Main Campus]

- **Female**: 2041, 611, 161, 118, 8, 2, 45
- **Male**: 2169, 561, 142, 216, 10, 6, 28

1.2 – Panama City Campus

![Bar chart showing workforce composition by race and gender at Panama City Campus]

- **Female**: 49, 8, 1, 1, 1, 0, 1
- **Male**: 40, 0, 2, 1, 0, 0, 0
III. 2015 AAP WORKFORCE PROFILE FOR INDIVIDUALS WITH DISABILITIES

The table below provides the percent of individuals with disabilities in the current workforce for each Plan location.

Table 2 – Current Workforce Composition (Individuals with Disabilities)

<table>
<thead>
<tr>
<th>Location</th>
<th>Plan Year</th>
<th>Total Count</th>
<th>Percent Individuals with Disabilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Campus</td>
<td>2015</td>
<td>6126</td>
<td>0.85%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>6118</td>
<td>3.43%</td>
</tr>
<tr>
<td>Panama City Campus</td>
<td>2015</td>
<td>103</td>
<td>2.91%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>104</td>
<td>5.77%</td>
</tr>
<tr>
<td>Ringling Museum of Art</td>
<td>2015</td>
<td>112</td>
<td>0%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>128</td>
<td>4.69%</td>
</tr>
<tr>
<td>University Total</td>
<td>2015</td>
<td>6356</td>
<td>0.87%</td>
</tr>
<tr>
<td></td>
<td>2016</td>
<td>6350</td>
<td>3.50%</td>
</tr>
</tbody>
</table>
Prior to the 2015 plan year, the University was not required to collect disability data from faculty and staff. However, pursuant to OFCCP regulations, the University surveyed the current workforce in February 2015, in an effort to encourage faculty and staff to voluntarily self-identify as individuals with disabilities. Although a marked increase was noted in the representation of individuals with disabilities, the University received less than a 2% response rate on the survey, which means these percentages likely still do not reflect the University’s total utilization rates. To increase the response rate, the University will continue to educate faculty and staff regarding the purpose of collecting such data, our obligations as a federal contractor, and the confidentiality of their responses.

IV. 2015 AAP GOAL ATTAINMENT

During the 2015 Plan year, five placement goals were reached at the main campus location. Table 3.1 – Main Campus reflects the job group name and the area of goal correction.

Table 3 – Placement Goal Attainment from 2015 to 2016 (Race/Sex)

3.1 – Main Campus

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Minority</td>
</tr>
<tr>
<td>2B3 – Assistant Professor</td>
<td>X</td>
</tr>
<tr>
<td>2E3 – Research Faculty</td>
<td>X</td>
</tr>
<tr>
<td>3B3 – Budget/Finance Professional</td>
<td>X</td>
</tr>
<tr>
<td>3C2 – Health Professional</td>
<td>X</td>
</tr>
<tr>
<td>3D2 – Mid-Level Administrative Professional</td>
<td>X</td>
</tr>
</tbody>
</table>

3.2 – Panama City Campus

Panama City Campus had no goals for the 2015 Plan year.

3.3 – Ringling Museum of Art

The Ringling Museum of Art attained its single goal for minorities in job group 7A – Service/Maintenance for the 2014 Plan year. It has no goals for the upcoming year.

Utilization Goal Attainment for IWD

Based on last year’s data, individuals with disabilities were represented in only one job group among all three AAP locations (3A – Professionals at the Panama City Campus). This year’s data indicated that individuals with disabilities are represented in 8 of the 73 job groups at the Main Campus location, 3 of 7 job groups at the Panama City Campus, and 2 of 7 job groups at the Ringling Museum of Art.
Hiring Benchmark for Protected Veterans

The analysis for protected veterans does not include the establishment of placement goals for the workforce, but rather, it is a hiring benchmark which measures the success of our efforts to recruit and employ qualified protected veterans. The benchmark established by the OFCCP is 7%. The table below provides the hiring percent of protected veterans at each AAP location. The University attained the 7% benchmark at the Panama City Campus.

<table>
<thead>
<tr>
<th>Location</th>
<th>Hiring Benchmark</th>
<th>Hiring Percent of Protected Veterans</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Campus</td>
<td>7%</td>
<td>1.95%</td>
</tr>
<tr>
<td>Panama City Campus</td>
<td>7%</td>
<td>12.50%</td>
</tr>
<tr>
<td>Ringling Museum of Art</td>
<td>7%</td>
<td>3.13%</td>
</tr>
</tbody>
</table>

V. 2016 AAP PLACEMENT GOALS

The University has 32 placement goals (race/sex) for the 2016 Plan year; this is a net increase of 2 goals. Affirmative action placement goals enable the University to develop action-oriented steps in a good faith effort to correct any areas of minority or female underutilization that may exist. These placement goals are not quotas or set-asides for specific groups. Rather, they represent areas where targeted efforts should be made to attract and retain qualified minorities and females in the available labor market. The table below indicates the placement goals for the 2016 AAP. Only job groups with goals are listed.

Table 4 – Placement Goals for 2016 (Race/Sex)

4.1 – Main Campus

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Minority</td>
</tr>
<tr>
<td>1 – Executive/Administrative/Managerial</td>
<td></td>
</tr>
<tr>
<td>1B – Senior Administration</td>
<td>X</td>
</tr>
<tr>
<td>2 – Faculty</td>
<td></td>
</tr>
<tr>
<td>2B1 - Professor</td>
<td>X</td>
</tr>
<tr>
<td>2B2 – Associate Professor</td>
<td>X</td>
</tr>
<tr>
<td>2D1 - Senior Teaching Faculty</td>
<td>X</td>
</tr>
<tr>
<td>2D3 - Teaching Faculty</td>
<td>X</td>
</tr>
<tr>
<td>2E1 - Senior Research Faculty</td>
<td>X</td>
</tr>
<tr>
<td>2G1 – Senior Research Support</td>
<td></td>
</tr>
</tbody>
</table>
### BOARD OF TRUSTEES - CONSENT ITEMS

#### 3 – Professionals

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>2H - FSUS University School</td>
<td>X</td>
</tr>
<tr>
<td>2I - Other Faculty</td>
<td>X</td>
</tr>
<tr>
<td>3A2 - Mid-level Technology Professional</td>
<td>X</td>
</tr>
<tr>
<td>3B3 - Budget/Finance Professional</td>
<td>X</td>
</tr>
<tr>
<td>3D2 - Mid-Level Administrative Professional</td>
<td>X</td>
</tr>
<tr>
<td>3E1 - Senior Scientific &amp; Research Professional</td>
<td>X</td>
</tr>
<tr>
<td>3F1 - Student Advisory Professional</td>
<td>X</td>
</tr>
<tr>
<td>3F2 - Student Program Professional</td>
<td></td>
</tr>
<tr>
<td>3G - Media &amp; Communications Professional</td>
<td>X</td>
</tr>
<tr>
<td>3H - Program Director</td>
<td>X</td>
</tr>
<tr>
<td>3L1 - Senior Library/Fine Arts Professional</td>
<td>X</td>
</tr>
</tbody>
</table>

#### 4 – Technical/Paraprofessional

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>4A2 - Technology Tech/Paraprofessional</td>
<td></td>
</tr>
<tr>
<td>4E - Scientific &amp; Research Tech/Paraprofessional</td>
<td></td>
</tr>
</tbody>
</table>

#### 5 – Clerical/Secretarial

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>5A2 - Mid-Level Secretarial</td>
<td>X</td>
</tr>
<tr>
<td>5B1 - Senior Business Admin Support</td>
<td>X</td>
</tr>
<tr>
<td>5B2 - Mid-Level Business Admin Support</td>
<td>X</td>
</tr>
</tbody>
</table>

#### 6 – Skilled Crafts

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>6B1 - Specialty Skilled Trades Worker</td>
<td>X</td>
</tr>
</tbody>
</table>

#### 7 – Service/Maintenance

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>7A2 - Law Enforcement</td>
<td>X</td>
</tr>
<tr>
<td>7B - Security Services</td>
<td></td>
</tr>
</tbody>
</table>

### 4.2 – Panama City Campus

<table>
<thead>
<tr>
<th>Job Group</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 – Professionals</td>
<td></td>
</tr>
<tr>
<td>3A - Professionals</td>
<td>X</td>
</tr>
</tbody>
</table>

### 4.3 – Ringling Museum of Art

2015 AAP Executive Summary
Ringling Museum of Art has no goals for the 2016 Plan year.

Utilization Goals for Individuals with Disabilities

The utilization analysis indicated that individuals with disabilities are underrepresented in the majority of job groups at each of the three AAP locations. Table 4.4 reflects the percentage of placement goals for individuals with disabilities in the 2016 AAP.

4.4 – Percent of Placement Goals for 2016 (Individuals with Disabilities)

<table>
<thead>
<tr>
<th>Location</th>
<th>Number of Job Groups</th>
<th>Number of Job Groups with Goal</th>
<th>Percent of Job Groups with Goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Campus</td>
<td>73</td>
<td>65</td>
<td>89.04%</td>
</tr>
<tr>
<td>Panama City Campus</td>
<td>7</td>
<td>4</td>
<td>57.14%</td>
</tr>
<tr>
<td>Ringling Museum of Art</td>
<td>7</td>
<td>5</td>
<td>71.43%</td>
</tr>
</tbody>
</table>
VI. AFFIRMATIVE ACTION INITIATIVES

The University’s foundation of equal employment opportunity compliance is the base upon which the diversity of the University has been built. The following initiatives support the University’s commitment to affirmative action, equal employment opportunity, diversity, and inclusion.

- **FSU Strategic Plan:** The University’s commitment to affirmative action is the foundation for several Strategic Priorities, including: 1) recruiting, developing, and retaining outstanding and diverse faculty and staff and 2) recruiting and graduating outstanding and diverse students. Additionally, diversity is incorporated in the University’s mission and vision statements.

- **Diversity & Inclusion Initiative:** FSU recognizes that every competitive advantage begins with people. By valuing, celebrating, and leveraging the differences and similarities of students, faculty, and staff, FSU inspires an environment of innovation and passion. This principle guides the University as it creates a teaching, research, and service environment that better reflects the needs of the students, faculty, staff, customers, constituents, communities, and other key stakeholders. The Office of Diversity and Inclusion provides oversight for campus activities that support and promote this ideal of inclusion and access.

In 2015, a three-year Diversity and Inclusion operating plan was developed outlining several key focus areas, including recruiting a diverse faculty and staff, developing and retaining a diverse faculty and staff, and developing and strengthening partnerships with diverse internal and external organizations.

The Diversity and Inclusion Council, which was established in 2011 and functions under the auspices of the Office of Diversity and Inclusion, is responsible for the continued development and implementation of the diversity and inclusion operating plan. The Council is championed by a steering committee comprised of the Division Vice Presidents and senior leadership members. The main body of the Council is comprised of thirty campus stakeholders to include faculty, staff, students and alumni. Members of the Human Resources’ Office of Diversity and Inclusion serve as administrative liaisons to the Council. The Council fully embraces the mission of enhancing diversity and inclusiveness throughout the entire campus community and is committed to the development of policies, programs, groups, and special initiatives that address diversity and inclusion.

Additionally, the Office of Diversity and Inclusion has supported the establishment of several Affinity Groups whose primary purpose is to provide representation and advocacy for varied campus constituents, many of whom are in underrepresented groups. These groups assist the organization with the recruitment, retention, and promotion of top diverse talent.

- **Implementation of Best Practices:** The University continually reviews and updates policies, procedures, and practices to align with the University’s philosophy of diversity
and inclusion. External benchmarking is conducted on the policies and programs of other universities, as well as their measurements of success. Top leadership commitment and annual auditing and reporting ensure accountability across the University.

- **Targeted Outreach and Recruitment**: To ensure the University attracts a diverse pool of applicants, FSU uses the State Employment Services, as well as job fairs; internal publications and organizations; external female and minority publications; and recruiting programs sponsored by local community organizations. Other outreach efforts promoting diversity include administration of the Minority Recruitment Program by the Provost's Office and online targeted recruitment sites, such as Inside Higher Ed and INSIGHT Into Diversity, for qualified minority and female applicants.

- **Education and Training**: FSU continues to grow its education and training programs in the areas of diversity and compliance. Classroom and online trainings are available to all faculty and staff. In addition, the Diversity & Inclusion Council is proud to introduce the Florida State University Diversity & Inclusion Certificate Series Program. The certificate creates opportunity for faculty and staff to explore strategic areas around diversity and to learn more about the ways in which they can assist in creating a welcoming and inclusive campus for all. The Diversity & Inclusion Certificate is a partnership between the Center for Leadership & Social Change, Human Resources and other diversity-related offices and programs across the university. Trainings include:
  - Embracing Diversity: Cultivating Respect and Inclusion
  - Understanding the Americans with Disabilities Act
  - EEO: Avoiding Minefields in Employment Practices
  - Sexual Misconduct
  - Team Dynamics
  - Seminole Allies and Safe Zones
  - Using Inclusive Language
  - Bridging Cultures I: An Introduction to Intercultural Communication
  - Bridging Cultures II: Cross-Cultural Encounters
  - Developing Global Competence & Lessons Learned
  - Managing Intercultural Conflict
  - Team Dynamics
  - Cultural Competence & Higher Education
  - Cultural Competence in Administration & Management
  - Cultural Competence in Theory & Practice
  - Cultural Competence in Ethics and Professional Standards
➢ Social Justice Ally Training

In addition, the University has worked to develop a robust Diversity and Inclusion Library. Books, articles, and a suggested reading list are available online to the entire campus community at http://guides.lib.fsu.edu/diversity.

In September 2015, the University earned national recognition as a recipient of INSIGHT Into Diversity’s 2015 “Higher Education Excellence in Diversity” (HEED) Award for the second year in a row. The HEED Award recognizes colleges and universities that demonstrate an outstanding level of achievement and intensity of commitment in regard to broadening diversity and inclusion on campus through initiatives, programs, and outreach; student recruitment, retention, and completion; and hiring practices for faculty and staff. Award recipients were chosen based on their institution’s exemplary diversity and inclusion initiatives with regard to all aspects of diversity, including race, ethnicity, sex, veterans, and individuals with disabilities.
VII. CONCLUSION

The University will continue to reinforce its commitment to non-discrimination for all groups covered in its Equal Opportunity and Non-Discrimination Statement and protected by state and federal law. FSU will continue to monitor its methods of recruitment, retention, and advancement of qualified faculty, staff, and students, and annually examine its affirmative action plans, as prescribed by federal guidelines, to measure whether its campus is reflective of the community served.
TO: President John Thrasher  
FROM: Provost Sally McRorie  
DATE: February 10, 2016  
SUBJECT: Proposal to Implement Bachelor of Science in Interdisciplinary Medical Sciences  
Request for Approval

This degree will help the increasing number of students who come to Florida State interested in medicine explore the wide variety of careers related to the entire health care system. The interdisciplinary curriculum will prepare all students with a solid background in the sciences fundamental to medicine and healthcare and will explore the total biopsychosocial knowledge base necessary for all who enter a healthcare profession. The program will allow students to specialize in one of three major areas and will culminate in either faculty-supervised research or a community-based internship relevant to their area of study. The proposed program will be offered face-to-face on the main campus and will be housed in The College of Medicine, Department of Biomedical Science.

Students who major in Interdisciplinary Medical Sciences will be well prepared to enter a health professions training program, continue into a research-based graduate program, or seek employment in the healthcare field. Students who choose to continue their education to become a medical doctor, physician assistant, or dentist could earn salaries that range from $96,000 to $261,000 on average. A student who chooses the ancillary health care delivery in community settings major could become employed as a Health Coach or Elder Care Coordinator with salaries that could range from $41,000 to $68,000 on average. Students interested in health informatics or health care management could earn salaries that range from $65,000 to $80,000 on average, according to Occupational Statistics and Employment Projections provided by the Bureau of Labor Statistics.

The College of Medicine has requested support for a faculty coordinator to develop community relationships and ensure that experiential placements provide a meaningful career-development experience for students. Although many of the faculty resources needed to support the program exist currently in academic departments, requests for additional faculty lines are under review. The Board’s approval to explore does not obligate the University to provide the resources requested and the resource request will be reviewed as part of the annual allocation of resources.
TO: President John Thrasher
FROM: Provost Sally McRorie
DATE: February 10, 2016
SUBJECT: Proposal to Implement Bachelor of Science in Public Health
        Request for Approval

The Bachelor of Science in Public Health (BSPH) will prepare undergraduates for jobs in the fast-growing health field, including positions in government agencies, health corporations, community non-profit organizations, and health care facilities. Our program will specialize in health-focused social science, public policy, and advanced statistical methods. The concentration of this program complements the university’s focus on successful longevity and the College of Social Sciences and Public Policy’s new program on aging and social change, which will reside in the Pepper Institute on Aging and Public Policy. Our proposed program will provide students with training in the five core areas of public health: epidemiology, environmental health sciences, health policy & management, social & behavioral sciences, and biostatistics. The undergraduate public health major has become increasingly popular in recent years, as evidenced in national data suggesting it is one of the fastest growing majors in the U.S. Although USF is currently the only other SUS institution offering the undergraduate degree, several other institutions are in the process of developing the degree in order to meet student demand. There is no distance-learning component; the degree will be offered face-to-face on the main campus.

One recent study showed that 95% to 98% of Tulane’s BSPH graduates either found a job or entered a graduate program within one year of graduation. Those seeking employment find jobs in an array of settings, such as public health programs at nonprofit organizations, health care organizations, health education programs, health and wellness programs in businesses/industry, patient advocate groups, fitness organizations, and health divisions of other sectors. The 2013 Tulane graduates who found employment reported salaries ranging from $35,000 to $52,000. Bachelor’s-level graduates are also accepted into competitive graduate programs in public health, medical schools, nursing, dietetics programs, law schools, and other graduate programs at major universities.

The Dean and the Provost are determining what resources are needed to support the program. The Board’s approval to implement does not obligate the University to provide the resources requested and the request will be reviewed as part of the annual allocation of resources.
TO: President John Thrasher
FROM: Provost Sally McRorie
DATE: February 10, 2016
SUBJECT: Proposal to Implement L.L.M. in Business Law Request for Approval

The proposed Master of Laws (L.L.M.) degree in Business Law is designed for lawyers who are seeking additional advanced study in business law and finance to enhance their professional credentials. A principal goal of the L.L.M. program is to allow students to take advanced courses in business law and finance, as well as courses in ancillary sub-specialties, such as intellectual property and environmental law. The L.L.M. in Business Law is open both to students with a J.D. degree and to foreign lawyers. The degree will be offered face-to-face on the main campus and in an online format, although the expectation is to move more toward online delivery as the program matures. The program will serve both full and part-time students.

The College of Law’s J.D. business law program is one of the most comprehensive in the Southeast, allowing students to choose from a large number of courses on corporate law, securities, corporate finance, law and economics, and financial regulation. The J.D. program includes a highly regarded and very popular Certificate Program in Business Law. The Business Law faculty will help L.L.M. students tailor their courses of study, taking into account the students’ particular interests, educational background, and professional needs. The L.L.M. program will also include the following specialization tracks: transactional law; in-house counsel and compliance; and business litigation (e.g., commercial, securities, insurance, product liability, arbitration, and mediation).

Similar to the two L.L.M. degrees already in place at FSU, as well as others across the nation, the program requires a lower number of credit hours than a traditional non-thesis master’s degree (24 as opposed to 32).

This L.L.M. in Business Law will be the first of its kind in the State University System. Median annual salaries are approximately $113,530 in areas of law that extend into the arenas of finance, insurance, and governmental relations. As noted above, this degree is designed to build upon the foundation of each student’s J.D. (or a law degree received from a non-U.S. school) and does not lead to the J.D. degree.

No new resources are being requested to support the program; existing faculty resources will be utilized.
TO: President John Thrasher
FROM: Provost Sally McRorie
DATE: February 10, 2016
SUBJECT: Proposal to Explore Master of Science in Aerospace Engineering Request for Approval

The proposed Master of Science in Aerospace Engineering is an interdisciplinary degree program that will provide highly-trained graduates to meet state and national aerospace workforce needs. The degree will build upon the existing research strength of the Florida Center for Advanced Aero-Propulsion, which is housed at Florida State University. Through this state-wide center, FAMU-FSU faculty members already work collaboratively with UF, UCF, Embry-Riddle, and Miami University to develop cutting-edge technologies and a technology-savvy workforce spanning a broad range of areas in aerospace and propulsion. The new degree will be housed in the FAMU-FSU College of Engineering, and both universities are working to develop the degree proposal. Initially, the degree will be offered face-to-face on the main campus, although eventually, 60% of the coursework will be made available online.

Aerospace engineers are needed in the aviation and aerospace industries. The Bureau of Labor Statistics 2015 Occupational Outlook Handbook contains an estimate that the aerospace workforce will grow by 7% between 2012 and 2022, and in Florida, the ratio of graduate degrees to bachelor's degrees granted is lower than the national average, indicating that the State is not producing its share of the national workforce. More important, this collaborative program has the potential to address a marked lack of African-American aerospace engineers at the master's level - between 2009 and 2014, only 3.6 of the aerospace MS degrees granted across the nation were awarded to African-Americans. Overall, the median salary for aerospace engineers is $103,720/year, based on information from the 2015 Occupational Outlook Handbook.

The curriculum will include courses in three core areas: fluid dynamics and aerodynamics, dynamical systems and controls, and aerospace structures and design. The program will require completion of 30 credit hours and a thesis and can lead to either immediate employment or to further study in the Ph.D. program.

BOG regulation 8.004 (Academic Program Coordination) requires the Board of Governors to coordinate a review with the Council for Academic Vice Presidents (CAVP) to inform both institutional and System-level strategic planning. The group designated by the CAVP to conduct these reviews, the CAVP Academic Coordination Group, expressed no concerns regarding this Proposal to Explore.

The two universities and the College are working to determine sources of funding for the program. The Board’s approval to explore does not obligate the University to provide the resources requested and the resource request will be reviewed as part of the annual allocation of resources.

212 Westcott Building, Florida State University, Tallahassee, Florida 32306-1310
Telephone: 850.644.1816 Fax: 850.644.0172 http://provost.fsu.edu
TO: President John Thrasher
FROM: Provost Sally McRorie
DATE: February 10, 2016
SUBJECT: Proposal to Explore Ph.D. in Aerospace Engineering

Request for Approval

The proposed Ph.D. in Aerospace Engineering is an interdisciplinary degree program that will provide highly-trained graduates to meet state and national aerospace workforce needs. The degree will build upon the existing research strength of the Florida Center for Advanced Aero-Propulsion, which is housed at Florida State University. Through this state-wide center, FAMU-FSU faculty members already work collaboratively with UF, UCF, Embry-Riddle, and Miami University to develop cutting-edge technologies and a technology-savvy workforce spanning a broad range of areas in aerospace and propulsion. The new degree will be housed in the FAMU-FSU College of Engineering, and both universities are working to develop the degree proposal. Initially, the degree will be offered face-to-face on the main campus, although eventually, 60% of the coursework will be made available online.

Aerospace engineers are needed in the aviation and aerospace industries, in addition to academic positions. The Bureau of Labor Statistics 2015 Occupational Outlook Handbook contains an estimate that the aerospace workforce will grow by 7% between 2012 and 2022, and in Florida, the ratio of graduate degrees to bachelor’s degrees granted is lower than the national average, indicating that the State is not producing its share of the national workforce. More important, this collaborative program has the potential to address a marked lack of African-American aerospace engineers at the Ph.D. level. Overall, the median salary for aerospace engineers is $103,720/year, based on information from the 2015 Occupational Outlook Handbook.

The curriculum will include courses in three core areas: fluid dynamics and aerodynamics, dynamical systems and controls, and aerospace structures and design. The program will require completion of 60 credit hours (at least 24 of which are dissertation-related) and extensive research alongside faculty members.

BOG regulation 8.004 (Academic Program Coordination) requires the Board of Governors to coordinate a review with the Council for Academic Vice Presidents (CAVP) to inform both institutional and System-level strategic planning. The group designated by the CAVP to conduct these reviews, the CAVP Academic Coordination Group, expressed no concerns regarding this Proposal to Explore.

The two universities and the College are working to determine sources of funding for the program. The Board’s approval to explore does not obligate the University to provide the resources requested and the resource request will be reviewed as part of the annual allocation of resources.

212 Westcott Building, Florida State University, Tallahassee, Florida 32306-1310
Telephone: 850.644.1816 Fax: 850.644.0172 http://provost.fsu.edu
TO: President John Thrasher
FROM: Provost Sally McRorie
DATE: February 10, 2016
SUBJECT: Proposal to Implement Bachelor of Science in Environment and Society Request for Approval

The proposed Bachelor of Science in Environment and Society is an interdisciplinary degree program that will provide students with an in-depth understanding of contemporary environmental concerns, including topics such as ecosystem management, resource conservation, and environmental policy. The purpose of the program is to equip students with awareness, knowledge, and practical skills to either allow them to enter graduate programs in geography or environmental fields, or to enter employment as an environmental policy analyst, natural resources land specialist, national park manager, natural hazard mitigation officer, market researcher, environmental organization officer, conservationist, forest manager, water resource planner, agriculturalist and food inspector, or location analyst.

The new degree will be housed in the College of Social Sciences and Public Policy, Department of Geography. The degree will be offered face-to-face on the main campus, although students will have the option to elect distance learning for certain elective classes.

The majority of graduates in similar programs are employed by state and federal agencies, including Environmental Protection, Fish and Wildlife, Forestry Service, and National Parks. Specifically, students in an existing major have found employment at the Florida Fish & Wildlife Commission, DEP, Forest Service, Water Management Districts, Office of Environmental Management, FEMA, USDA, National Park Service, Department of Energy, and the Council of Environmental Quality as well as with real estate developers, school boards, resource management agencies, planning agencies, mapping agencies (National Geospatial Agency, ESRI, Census Bureau), business consultants, utilities, and port and airport authorities. Typical starting salaries range from $35,000 to $45,000.

The Dean is working with the Provost to determine resource needs for the program. The Board’s approval to implement does not obligate the University to provide the resources requested and the resource request will be reviewed as part of the annual allocation of resources.
The proposed Bachelor of Arts/Bachelor of Science in Entrepreneurship will teach students from a truly interdisciplinary perspective. The new degree will be housed in a soon-to-be-created School of Entrepreneurship which will report to the Provost, allowing the program to connect its curriculum to a set of existing programs across the span of undergraduate offerings in STEM fields and the fine arts, as well as with business and other professional programs. Through collaboration with the Jim Moran Institute for Global Entrepreneurship, it will also connect students to existing businesses and expose them to mentors in the field.

Faculty members called Entrepreneurs-in-Residence have already been hired in each college to teach and advise students interested in entrepreneurship, as a first step toward creating an interdisciplinary entrepreneurship curriculum. The degree will be offered primarily face-to-face on the main campus, although approximately 15% of the courses will be offered online.

It is difficult to estimate potential starting salaries for various arts, STEM, and business-oriented entrepreneurs, and certainly there will be a wide range of success levels with graduates from this program. Yet natural leaders and “out-of-the-box” thinkers are drawn to this type of program, and there is a national consensus that small business generation has a positive effect on the state and national economies.

BOG regulation 8.004 (Academic Program Coordination) requires the Board of Governors to coordinate a review with the Council for Academic Vice Presidents (CAVP) to inform both institutional and System-level strategic planning. The group designated by the CAVP to conduct these reviews, the CAVP Academic Coordination Group, expressed no concerns regarding this Proposal to Explore.

The additional resources needed to make this the most innovative entrepreneurship program in the country have been pledged to the University by a major donor.
TO: President John Thrasher

FROM: Provost Sally McRorie

DATE: February 10, 2016

SUBJECT: Proposal to Explore Master of Arts in East Asian Languages and Literature

Request for Approval

The proposed Master of Arts in East Asian Languages and Literature will center on language training and will offer a comprehensive graduate education in the languages, literatures, and cultures of East Asia, an area of economic and strategic importance to the United States. Although the master's requires a two-year course of study, students will be able to combine undergraduate and graduate study in a “4 + 1” program to complete both degrees in five years. The program will be offered face-to-face on the main campus and will be the first of its kind in the State University System.

According to a 2015 report entitled “The Economic Value of College Majors,” degrees in foreign language, especially graduate ones, are very valuable in today’s international economy. A 2014 Wall Street Journal article contained a similar statement, citing languages as the most profitable of the liberal arts degrees. The National Association of Colleges and Employers annual survey indicates that starting salaries for foreign language graduate degree holders are typically between $67,000 and $69,000 annually.

BOG regulation 8.004 (Academic Program Coordination) requires the Board of Governors to coordinate a review with the Council for Academic Vice Presidents (CAVP) to inform both institutional and System-level strategic planning. The group designated by the CAVP to conduct these reviews, the CAVP Academic Coordination Group, expressed no concerns regarding this Proposal to Explore.

The Department of Modern Languages and Linguistics is working with the College of Arts & Sciences to determine whether an additional faculty line is needed to support the new program. The Board's approval to explore does not obligate the University to provide the resources requested and the resource request will be reviewed as part of the annual allocation of resources.
TO: President John Thrasher

FROM: Provost Sally McRorie

DATE: February 6, 2016

SUBJECT: FSU College of Medicine Graduate Medical Education Annual Institutional Review Executive Summary (AY 2014-2015)
Request for Approval

The College of Medicine requests approval of the attached Graduate Medical Education Annual Institutional Review Executive Summary. The 2013-14 report was approved at the October meeting, but the cycle is being updated to have the report approved earlier in the year.
ANNUAL INSTITUTIONAL REVIEW EXECUTIVE SUMMARY
Florida State University College of Medicine Graduate Medical Education Division
Academic Year July 1, 2014-June 30, 2015

Submitted by
Joan Younger Meek, MD, MS
Associate Dean for Graduate Medical Education
Designated Institutional Official

The DIO must submit a written annual executive summary of the annual institutional review to the Governing Body. (Accreditation Council on Graduate Medical Education institutional Requirements, July 1, 2015; Section i.B.5.c)

Overview:

Accreditation Status:

The Florida State University College of Medicine is accredited as a provider of Graduate Medical Education by the Accreditation Council for Graduate Medical Education (ACGME) with no current citations. A self-study is projected for October 1, 2017.

Administration:

The Florida State University College of Medicine Graduate Medical Education Division consists of Joan Younger Meek, MD, MS, the Associate Dean for Graduate Medical Education and the Designated Institutional Official; Christopher P. Mulrooney, PhD, the Assistant Dean for Graduate Medical Education and the Chief Operating Officer of the Florida Medical Practice Plan; Connie Donohoe, MPH, the GME Program Manager; and, Jessee Graham, Program Associate. Graduate Medical Education is supported by the Chief Financial Officer of the Florida Medical Practice Plan, Dawn M. Snyder, CPA, who oversees the budget planning process and monitors financial reports and reconciliations. The GME Division and Dr. Meek report to Alma B. Littles, MD, the Senior Associate Dean for Medical Education and Academic Affairs.

Program Improvement:

The ACGME Institutional Requirements were revised with an implementation date of July 1, 2015 for sponsoring institutions. The requirements continue to emphasize the role of the sponsoring institution in providing oversight for the educational environment of the trainees and the quality of the programs it sponsors. There is particular emphasis on engagement in quality improvement, ensuring standardized transitions of care, providing adequate supervision of trainees, monitoring duty hours, training residents in fatigue management, and ensuring the professional development of residents. The ACGME is assessing compliance through annual on-line surveys and web-based
updates, as well as through the CLER (Clinical Learning Environment Reviews). FSU as a sponsoring institution has not had a CLER visit yet.

One of the major roles of the Graduate Medical Education Division is to monitor the overall quality and outcomes of the residency training programs. The Graduate Medical Education Committee is tasked with oversight and receives regular updates from each program. The Graduate Medical Education Committee meets via videoconference on a quarterly basis. Dr. Meek chairs the committee, which includes all program directors, peer-selected residents, and representative hospital administrators and patient safety and/or quality improvement leaders from the following major clinical partners: Dermatology Associates of Tallahassee, Lee Memorial Health System in Fort Myers, Sacred Heart Health System in Pensacola, Tallahassee Memorial HealthCare in Tallahassee, and Sarasota Memorial Hospital in Sarasota. Faculty and resident annual anonymous surveys are administered by the ACGME, and results are monitored for each program. Aggregate data reports are included in this summary. All duty hours are recorded by the residents in the residency software management system, overseen by the institution. Violations trigger a notice to the program administration, with notification of the Designated Institutional Official. The duty hour reports are reviewed and areas of noncompliance are identified, with careful review of resident scheduling and rotation assignments, to eliminate potential duty hour violations. Residents receive education in fatigue mitigation. The program directors provide a summary of their action plans for program improvement and responses to previous program citations to the Graduate Medical Education Committee (GMEC). The DIO participates in the ACGME Annual Educational Conference, held in 2015 in San Diego.

The GME Division implemented the American Medical Association Introduction to the Practice of Medicine interactive online training modules to address core content in patient safety, quality improvement, fatigue and sleep deprivation, professionalism, and practice management, and the GMEC adopted the policy that assigned modules on core topics would be mandatory for all trainees during AY 2015-2016. In addition, the GMEC has recommended a standardized orientation for new incoming residents in Tallahassee, effective in June 2016. Dr. Meek attended the AMA Introduction to the Profession of Medicine Summit in Chicago in October 2014, to receive additional training and network with other institutions using the online modules.

Institutional oversight also includes the following administrative duties: providing orientation to incoming residents; assisting with the residency management software suite; providing assistance with information technology and library resources; ensuring that all residency programs are registered with the appropriate accreditation (ACGME) and residency recruitment programs (ERAS, NRMP) and that fees are paid in a timely manner; facilitating faculty appointments and rank, as well as promotion; both tracking and providing faculty development; facilitating residency forums; and participating in program activities as requested. Annual program evaluations are reviewed through the GME office.

The GME Division promotes participation in the annual FSU Research Fair and Residency Recruitment Fairs. The Residency Review newsletter is produced and distributed three times per year, and the DIO provides periodic electronic updates. The GME office works with the programs to develop residency recruitment materials and produces other public relations materials, in
conjunction with the clinical partner institutions. The office also prepares graduation certificates and facilitates graduation ceremonies at each clinical institution.

Future Program Development and Changes:

The initial application for the proposed dermatology program located at Dermatology Associates of Tallahassee was submitted in March of 2015, and a site visit was conducted in June of 2015. The ACGME Dermatology Review Committee will meet in January 2016, so the accreditation status is currently pending. Dr. George Cohen serves as the inaugural program director. Throughout the year, he continued to work on developing the curriculum and evaluations tools for the residents. Dermatology Associates of Tallahassee provided newly renovated classroom and clinical space to support the residency program.

The FSU College of Medicine signed an affiliation agreement with Sarasota Memorial Hospital in March of 2015, with the plan of developing an inaugural residency program in internal medicine. A joint recruitment effort culminated in the naming of Dr. Wilhelmine Wiese-Rometsch as the inaugural program director. Dr. Wiese-Rometsch completed internal medicine residency at East Carolina University. She served as the internal medicine program director at Wayne State University from 2001-2008, and was later named as the corporate vice-president of academic affairs and the Designated Institutional Official at Detroit Medical Center, where she held a faculty appointment as an associate professor of internal medicine at the Wayne State University School of Medicine. Dr. Wiese-Rometsch joined the College of Medicine in September 2015.

In addition, the sponsorship for the residency programs at Sacred Heart Health System in Pensacola will be transitioning from the Florida State University College of Medicine to the University of Florida (UF) College of Medicine during AY 2015-2016, in conjunction with affiliation between Sacred Heart Health System and UF for specific clinical service lines.
## FLORIDA STATE UNIVERSITY COLLEGE OF MEDICINE
### GRADUATE MEDICAL EDUCATION PROGRAMS 2014-2015

<table>
<thead>
<tr>
<th>Clinical Institution/Program</th>
<th>Program Director</th>
<th>Program Coordinator</th>
<th>ACGME Accreditation Status</th>
<th>Next Accreditation Action Date</th>
<th># of Residents Approved</th>
<th># of Residents Enrolled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dermatology Associates of Tallahassee</td>
<td>Armand B. Cognetta, Jr., MD</td>
<td>Faith Stoutamire</td>
<td>Continued Accreditation</td>
<td>Self study 1/1/2025</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Dermatology</td>
<td>George Cohen, MD</td>
<td>Faith Stoutamire</td>
<td>Pending (Site visit 6/2015)</td>
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</table>

### Lee Memorial Health System

<table>
<thead>
<tr>
<th>Program</th>
<th>Program Director</th>
<th>Program Coordinator</th>
<th>ACGME Accreditation Status</th>
<th>Next Accreditation Action Date</th>
<th># of Residents Approved</th>
<th># of Residents Enrolled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Family medicine</td>
<td>Gary A. Golforth, MD</td>
<td>Kathleen Mattis</td>
<td>Initial Accreditation</td>
<td>Site visit 5/1/2015</td>
<td>18</td>
<td>12</td>
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</tbody>
</table>

### Sacred Heart Health System

<table>
<thead>
<tr>
<th>Program</th>
<th>Program Director</th>
<th>Program Coordinator</th>
<th>ACGME Accreditation Status</th>
<th>Next Accreditation Action Date</th>
<th># of Residents Approved</th>
<th># of Residents Enrolled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Obstetrics and gynecology</td>
<td>Julie Z. DeCesare, MD</td>
<td>Julie D. Floyd</td>
<td>Continued Accreditation</td>
<td>Self study 6/1/2022</td>
<td>16</td>
<td>15</td>
</tr>
<tr>
<td>Pediatrics</td>
<td>Peter J. Jennings, MD</td>
<td>Danika Talbert</td>
<td>Continued Accreditation</td>
<td>Self study 7/1/2019</td>
<td>27</td>
<td>24</td>
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### Tallahassee Memorial Healthcare

<table>
<thead>
<tr>
<th>Program</th>
<th>Program Director</th>
<th>Program Coordinator</th>
<th>ACGME Accreditation Status</th>
<th>Next Accreditation Action Date</th>
<th># of Residents Approved</th>
<th># of Residents Enrolled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal medicine</td>
<td>Gregory K. Todd, MD</td>
<td>Inez R. Hudlow</td>
<td>Initial Accreditation with Warning</td>
<td>8/25/2015 (Status pending)</td>
<td>36</td>
<td>25</td>
</tr>
<tr>
<td>Surgery</td>
<td>Wade G. Douglas, MD</td>
<td>Lilly Lewis</td>
<td>Initial Accreditation</td>
<td>8/1/2017</td>
<td>12</td>
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<tr>
<td>Program</td>
<td>New Faculty</td>
<td>Board Passage</td>
<td>In-Training Examination</td>
<td>Recruitment # Applicants/Interviews/Ranked/Matched</td>
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<tr>
<td>Micrographic surgery and dermatologic oncology fellowship (DATFL)</td>
<td>Dr. Chris DeRosier</td>
<td>No board certification</td>
<td>No in-training examination</td>
<td>31/5/5/1</td>
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<tr>
<td>Family medicine (LMHS)</td>
<td></td>
<td>N/A—first graduate in 2015; No 5-yr average Threshold: 90%</td>
<td>Year Program Mean /Nat’l Mean</td>
<td>1539/65/50/6</td>
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<td></td>
<td></td>
<td></td>
<td>PGY-1 423/383</td>
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<td>PGY-2 465/441</td>
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<td>PGY-3 (n=1) 410/475</td>
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<td>Overall: 437/432</td>
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<tr>
<td>Obstetrics and gynecology (SHHS)</td>
<td>Dr. Julia Lagow-Generalist</td>
<td>3-year: 87.5% pass (7 of 8) Threshold: 80%</td>
<td>Year % Correct Nat’l Mean</td>
<td>380/76/54/4</td>
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<tr>
<td></td>
<td>Dr. Gary Person-Generalist</td>
<td></td>
<td>PGY-1 53%</td>
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<tr>
<td></td>
<td>Dr. Jack Ricketts-Generalist</td>
<td></td>
<td>PGY-2 61%</td>
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<tr>
<td></td>
<td>Dr. Ashley King-FPMRS, Urologist</td>
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<td>PGY-3 57%</td>
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<td>PGY-4 63%</td>
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<td>Overall: 58%/61%</td>
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<tr>
<td>Pediatrics (SHHS)</td>
<td>Dr. Ashley Shirah-Pediatric Hospitalist; Dr. Christopher Makris-Pediatric Endocrinology; Dr. Nicole Lawrence-Pediatric Gastroenterology; Dr. Richard Reynolds-Pediatric Orthopedic Surgery; Dr. Matthew Steiner Pediatric Cardiology; Dr. Roger Berkow-Pediatric Hematology/Oncology</td>
<td>100% pass for 2015 graduates; 3-year ave: 74% (includes some previous graduates who were first-time test takers) Threshold: 70%</td>
<td>Year Program Mean /Nat’l Mean</td>
<td>1362/155/111/9</td>
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<td></td>
<td>PL-1 133</td>
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<td>PL-2 160</td>
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<td></td>
<td></td>
<td>PL-3 178</td>
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<tr>
<td>Internal medicine (TMH)</td>
<td>Dr. Ingrid Jones-Ince</td>
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<td></td>
<td>Dr. Sudha Ravilla</td>
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<td>No 3-year ave. available</td>
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<td>Threshold: 80%</td>
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<tr>
<td>Year</td>
<td>% Correct</td>
<td>Nat'l Mean</td>
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<td>PGY-1</td>
<td>61%</td>
<td>60%</td>
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<td>PGY-2</td>
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<td>67%</td>
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<tr>
<td>PGY-3</td>
<td>67%</td>
<td>71%</td>
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<tr>
<td>Overall</td>
<td>64%</td>
<td>66%</td>
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<tr>
<td>4989/117/88 categorical + 29 preliminary/8 cat. + 4 prelim.</td>
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<tr>
<td>Institution Means vs. National Means</td>
<td>Duty Hours</td>
<td>Faculty</td>
<td>Evaluation</td>
<td>Resources</td>
<td>Patient Safety/Teamwork</td>
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<tr>
<td>Very Compliant</td>
<td>4.9</td>
<td>4.8</td>
<td>4.8</td>
<td>4.3</td>
<td>4.4</td>
<td></td>
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<tr>
<td>Very Noncompliant</td>
<td>4.6</td>
<td>4.3</td>
<td>4.6</td>
<td>4.4</td>
<td>4.5</td>
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</tr>
</tbody>
</table>

### Duty Hours

- **80 hours:**
  - **AY12/13:** 4.8
  - **AY13/14:** 4.8
  - **AY14/15:** 4.9

### Evaluation

- **Available to access evaluations:**
  - **AY12/13:** 4.4
  - **AY13/14:** 4.4
  - **AY14/15:** 4.6

### Educational Content

- **Provided goals and objectives for assignments:**
  - **AY12/13:** 4.3
  - **AY13/14:** 4.1
  - **AY14/15:** 4.4

### Resources

- **Access to reference materials:**
  - **AY12/13:** 4.2
  - **AY13/14:** 4.2
  - **AY14/15:** 4.3

### Patient Safety/Teamwork

- **Tell patients of respective roles of faculty and residents:**
  - **AY12/13:** 4.2
  - **AY13/14:** 4.4
  - **AY14/15:** 4.5

### Total Percentage of Compliance by Category

- **AY12/13:** 76.8
- **AY13/14:** 83.1
- **AY14/15:** 81.7

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© 2015 Accreditation Council for Graduate Medical Education (ACGME) *Response options are Yes or No. These responses aren’t included in the Program Means and aren’t considered non-compliant responses. **Data are not reported for any program participating in a duty hour study (including rotating programs). Percentages may not add to 100% due to rounding.
FSU College of Medicine Micrographic Surgery and Dermatologic Oncology Program at Dermatology Associates of Tallahassee (previously entitled “Procedural Dermatology Program”)

Complement Increase:

The program was granted an increase in complement from one fellow per year to two per year, effective with AY 2015-2016.

Honors and Recognition:

Dr. Armand Cognetta received the 2015 Outstanding Physician Award presented at the Capital Medical Society Celebration Awards Dinner on March 25, 2015. The award honors physicians who have demonstrated distinguished leadership in organized medicine, community volunteerism, political and governmental activities, clinical excellence, and educational activities, particularly with medical students. Dr. Cognetta's many contributions to the greater Tallahassee medical community and dedication to patient care, clinical teaching, and mentoring of trainees were highlighted at the Awards Dinner.

The FSU College of Medicine Alpha Omega Alpha Honor Medical Society selected Dr. Jeremy Sunseri, the 2014-2015 fellow, for induction into AOA. Dr. Sunseri completed training in August 2015 and is currently practicing with Dermatology Associates in their Panama City location.

Program Improvement:

The program is providing further experience in the laboratory for the fellow and has instituted additional literature reviews and didactic presentations to students to enhance teaching skills.

Patient Safety:

On a daily basis, patient safety is discussed and demonstrated. A formal presentation on patient safety was developed and is provided to each fellow. The fellow is monitored during all procedures to ensure that care is being properly administered. The fellow gains increased responsibility and autonomy over the course of the year, as procedural skills are demonstrated.

Scholarly Activity:


FSU College of Medicine Family Medicine Program at Lee Memorial Health System

Quality Improvement/Patient Safety:

All residents have been educated regarding Lee Memorial Health System safety and quality initiatives, as well as quality improvement methodology, by Dr. Chuck Krevenko. The residents participate in safety and quality committee meetings and have the opportunity to participate in root cause analysis of patient cases, however, no resident cases have been evaluated to date. Dr. Lucia Huffman, PGY-2, has worked with Dr. Christy Cavanagh in reviewing and presenting cases to the Lee Physician Group Quality and Peer Review Committee. Dr. Brian Selius is mentoring Dr. Lee Coghill, PGY-1, on a PDSA (Plan-Do-Study-Act) cycle concerning Residency Program Care Gaps which seeks to ensure that critical protected patient health information, PHI, such as, consults, lab, radiology, etc., are routed to the responsible resident and/or faculty physician in the most time efficient manner.

Resident Supervision and Transitions in Care:

The program complies with the FSU College of Medicine policy on resident supervision for inpatient and outpatient care as well as during performance of procedures. For transitions in care, there are daily in-person check-out rounds at 5 PM attended by the inpatient medicine service residents, faculty preceptor, and faculty assigned to night call. One resident on the inpatient medicine service assigned to late duty (5-7 PM) stays to handle floor calls and new admissions until 7 PM, then he/she signs out in-person to the upper-level resident on night float/call duty (7 PM to 7 AM). The residents also prepare a written check-out report on each patient on the inpatient medicine service in the Epic EHR showing the current situation, a shift report, and tasks to do. This report is available to the on call faculty and resident. The night float/call resident rounds in the ER and in each nursing unit where the patients are admitted, seeing each patient and discussing each patient with the assigned nurse. Each morning, the night float/call resident signs out to the inpatient medicine service chief(s) and faculty attending.

Access to Care:

The Family Medicine Center (FMC) provides comprehensive care to patients in nearly all payer groups. The FMC became certified in September 2014 as a NCQA (National Committee for Quality Assurance) Level 3 Patient Centered Medical Home. The FMC began offering extended hours from 5 to 6 PM on Monday through Thursday and 9 AM to 1 PM on Saturday.
Faculty Development:

<table>
<thead>
<tr>
<th>Dates</th>
<th>Topic</th>
<th>Faculty Involved</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/8/14</td>
<td>ALSO Course Orientation</td>
<td>Drs. Goforth, Gitu, Cavanagh, Fashner</td>
</tr>
<tr>
<td>8/22/14</td>
<td>Nexplanon Training</td>
<td>Drs. Gitu, Cavanagh, Fashner, Sellius</td>
</tr>
<tr>
<td>9/9/14</td>
<td>Recruiting Committee Orientation</td>
<td>Drs. Goforth, Cavanagh, Gitu, Fashner, Illes</td>
</tr>
<tr>
<td>9/23/14</td>
<td>Recruiting Orientation</td>
<td>All residents and faculty</td>
</tr>
<tr>
<td>9/30/14</td>
<td>Team Building Exercise</td>
<td>All residents and faculty</td>
</tr>
<tr>
<td>10/28/14</td>
<td>Dr. Greg Turner: Intergenerational Differences</td>
<td>All faculty</td>
</tr>
<tr>
<td>2/3/15</td>
<td>Welcome Back Weekend Orientation</td>
<td>All residents and faculty</td>
</tr>
<tr>
<td>2/12/15</td>
<td>Nancy Clark – FSU Library Orientation</td>
<td>All residents and faculty</td>
</tr>
<tr>
<td>3/27-31/15</td>
<td>AAFP PDW/RPS Meeting</td>
<td>Dr. Goforth and Andrea Adams</td>
</tr>
<tr>
<td>4/9/15</td>
<td>Update from PDS/RPS Meeting</td>
<td>All faculty</td>
</tr>
<tr>
<td>6/16/15</td>
<td>ABFM Part IV Module – METRIC (Diabetes)</td>
<td>All residents and faculty</td>
</tr>
<tr>
<td>6/23/15</td>
<td>Basic Life Support/ACLS training</td>
<td>All faculty</td>
</tr>
<tr>
<td>6/25/15</td>
<td>Annual Program Review Preparation</td>
<td>All faculty</td>
</tr>
</tbody>
</table>

Honors and Awards:

Dr. Gary Goforth received the Lee County Medical Society 2014 Award for Health Education in January 2015.

Dr. Alfred Gitu completed the Physician Leadership Institute at Lee Memorial Health System, which is a yearlong program aimed at developing physician leaders within the system.

Leadership Roles:

Dr. Julia Fashner:

Peer reviewer for Family Physicians Inquiries Network, 2005 to present; Peer reviewer for The Journal of Family Practice, 2009 to present; Associate Editor, Association of Family Medicine Residency Directors Family Medicine Residency Curriculum Resource, 2012 to 2015; Peer reviewer for Family Medicine, 2013 to present; Deputy Editor, Help Desk Answers, Family Physicians Inquiries Network, 2013 to present; LMHS Member, Institutional Review Committee; LMHS Member, Pharmacy and Therapeutics Committee

Dr. Christina Cavanagh:

Lee Memorial Health System: Quality and Peer Review Committee, Physician Advisory Council, Evidence Based Medicine Council, EpicCare Ambulatory User Group; Florida Academy of Family Physicians: Board of Directors, Government Relations Committee Member, Florida Family Medicine Political Action Committee Board Member; Society of Teachers of Family Medicine: Council of Academic Family Medicine, Advocacy Network Representative; Florida Medical Association: 2014 Physician Leadership Academy Graduate, 2014 Council on Medical Education and Science
Dr. Alfred Gitu:
Lee Memorial Hospital (LMH) Medical Executive Committee member, Lee Memorial Health System (LMHS) Sepsis Steering Committee member, LMH Joint Operations Committee member, Lee Physician Group Epic Optimization Council member, Lee Physician Hospital Organization Clinical Management Subcommittee member

Dr. Gary Goforth:
LMHS Charting Etiquette Committee; Chair, Florida Academy of Family Physicians Residency Director's Council, Florida Academy of Family Physicians, Ex Officio member of Continuing Professional Development Committee; LMHS, Lee Memorial Hospital Medical Staff Quality Committee; FSU COM Graduate Medical Education Committee member

Dr. Brian Selus:
Lee Memorial Health System: Physician Advisory Council, EHR Optimization Committee

Dr. Rose Anne Illes:
Lee Memorial Health System: Ethics Council, Population Education Council; Florida Behavioral Scientist Consortium; American Psychological Association, Member Early Career Professional Council

Scholarly Activity:
Dr. Julia Fashner is primarily responsible for oversight of research. All residents are trained by Dr. Fashner and other core faculty members in research methodology during dedicated sessions on Academic Afternoon sessions conducted each Tuesday afternoon.

Publications:


**Presentations:**

Prabakaran S, Prabakaran S, Fall S, and Fashner J. Evaluation of the health literacy and numeracy of patients in a family medicine clinic at a community hospital. Society of Teachers of Family Medicine, Conference on Practice Improvement, Poster. 2014.


Fall S, Fashner J, Illes R. Validation of stress and wellness measures in Lee County, FL physicians. Society of Teachers of Family Medicine, Annual Spring Conference, Poster. 2015.

Reyes, E. Integration of Interprofessional Education: Transforming Care through Team Work. How are we preparing the workforce? Invited presentation at Latino Health Forum; Seattle, October 9, 2014.


Mott TF and Fashner J. Elevating your scholarship: Developing faculty to lead publication projects that really teach. Society of Teachers of Family Medicine, Annual Spring Conference, Scholarly Topic Roundtable. 2015.


Fashner J. Usefulness equation and teaching life-long appraisal skills. Society of Teachers of Family Medicine, Annual Spring Conference, Poster. 2015.

**Research Grant:**

Cavanagh, C. Project Director for getLARC, a grant received to support family medicine resident training in Long Action Reversible Contraception. February 2015-January 2016.

**Program Improvement:** Follows
The Florida State University College of Medicine Family Medicine Residency Program at Lee Memorial Health System (Fort Myers)

Annual Program Review

June 26-27, 2015  Friday 7:30pm-11:00pm; Saturday 8:30am-11:30am

Updated November 11, 2015

_in Attendance:_ Dr. Gary Goforth (Chair), Dr. Julia Fashner, Dr. Christy Cavagnagh, Dr. Brian Salius, Dr. Rose Anne Illes, Dr. Eric Goldsmith, Dr. Elena Reyes, Dr. Alfred Gitu, Dr. Chelsey Schelner (Co-chief Resident -Sat. Only), Dr. Roy Messmer (Co-Chief Resident - Sat. Only), Kathleen Mattis. Invited guest: Dr. Joan Meek (FSU DIO)

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<th>Topic</th>
<th>Discussion</th>
<th>Action Needed</th>
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</table>
| _Review of Program Evaluation_ | See attached New Innovations Overall Program Evaluation Report and Resident Retreat and Survey Monkey Responses: Flagged issues – No Major Flagged Areas in Program Evaluation. Scheduling and evaluations need to be enhanced. Opportunities for residents, Feedback, Board Prep, Procedure Experience, Resident Interview Process, some rotations need changes in preceptors and/or perceptions from both preceptor and resident. Meeting comments: Overall good comments, but concerns about communication, scheduling, knowing expectations for each resident year level and outcomes of not meeting expectations. | 1. Talk with Radiology and Anesthesiology groups about teaching the residents, this will help with procedures. (Dr. Goldsmith) DONE  
2. Create didactic evaluations that can be done on Tuesdays. Paper evaluations for now until we can create in N1. (Kathleen, Dr. Gitu) DONE |
| _Hospital-LPG Administration Report - Dr. Goldsmith_ | Pleased and excited about program. Use Dr. Goldsmith as a resource for the program. Will continue to work on recruitment of graduates. Although this was asked about last year it was not fully implemented. | 1. Competitive offers for graduates to be designed. (Goldsmith, Kathleen, Andrea, Bowers, Currier) DONE – Dr. Sherry Farag now has contract with Lee Physician Group |
| _SWOT Analysis_ | Strengths: Dedicated faculty, Pioneer faculty and residents, Great facility, OB experience – deliveries, Pathology diverse, Diverse patient population, Schedules full, Good support from LPG, Strong teaching, lecturing, Interprofessional experience, Good name recognition – FSU, Good FSU resources, Medical library, faculty development, Good residents, Dedicated |
### Annual Program Review

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Friday 7:30pm-11:00pm; Saturday 8:30am-11:30am  
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<table>
<thead>
<tr>
<th>Support, Medical student interest, Good chief residents, Unopposed program</th>
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</thead>
<tbody>
<tr>
<td>Weaknesses: OB continuity, General GME continuity, shadowing in community rotations, Clinic space limited, Call Center, Peds volume, LMHS awareness, Perception of too many IMGs, Communication, Location – not academic center, Psychology support</td>
</tr>
<tr>
<td>Opportunities: More space for growth, Better use of MyChart, Marketing for peds/OB patients, Marketing for our location, Clear policies that are communicated regularly, Immokalee/Naples Health Education Site, improved geriatric experience/fellowship, Post-doctoral psych program, Full use of integrated psych program</td>
</tr>
<tr>
<td>Threats: Lack of understanding of GME, Inadequate/delayed response, Personality conflict, Other established FM program competition, Accountability</td>
</tr>
<tr>
<td>Opportunities to practice in area</td>
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</tbody>
</table>

**Recruitment**

- Going to change format this year. Biggest issues in the Post Match response were Location and Spouse finding a job.  
- Primary Interview days are Monday and Friday.  
- Residents encouraged Dr. Goforth to continue visiting the FSU College of Medicine regional campuses and would like to also come and have an informal pizza dinner the evening after the presentation for discussion about the residency.

1. Recruiting fairs in Florida. **DONE**
2. Drs. Goforth, Huffman, and Sanchious will participate in the AAFP National Conference in Kansas City in Aug 2015. **DONE**
3. Schedule Dr. Goforth to visit all FSU College of Medicine regional campuses prior to the MS-3 students selecting their MS-4 rotations. (Kathleen Mattis, Dr. Goforth) **SCHEDULED**
4. Schedule a procedure workshop at the FSU College of Medicine main campus FMIG. Fall (Kathleen Mattis) **SCHEDULED**
| Preparing for next Review Committee Site Visit | Site Visit is expected in May 2016. The faculty reviewed our one citation concerning supervision of OB deliveries in the labor suite and involvement in modeling OB care by at least one family medicine core faculty member. We agreed that Dr. Cavanagh will serve as our faculty member modeling OB care (prenatal, delivery, postpartum) Dr. Cavanagh will participate in the nurse midwife clinic each month (supervise residents with prenatal and postpartum care, contraception) and cover labor suite call at HPMC (supervising resident care, performing vaginal deliveries and 1st assist with C-Sections) one 24 hour period each month. We will have to submit a PIF for this final accreditation. We |

| Continue to go to the main campus FMG meetings for recruiting; the recruiting presentation, procedural workshops, and Doctering 3 teaching sessions had a major impact on students choosing to do rotations in our program. We also plan to participate in recruiting fairs in Florida and southeastern US. 

Need to identify candidates that want to stay in SW/ SE Florida. Want US grads. How do we overcome our mix that we have in order to compete during recruitment? Need to train those residents that are going to take candidates out to dinner what to say/how to say it. Need response back from residents in regards to meeting candidates in an anonymous format. Work on showing how to meet trailing spouses' needs. | Mattis) DONE OCT 2015 

5. Create a Survey Monkey for each candidate for residents to respond. DONE 

6. Create a recruiting committee to review the candidate applications. Dr. Goforth and the faculty will select the committee. Residents desiring to serve on the committee will prepare statement on why they want to serve on the committee. DONE 

7. Utilize the Healthy Lee Steering Committee for assistance with spouse employment opportunities; ask applicants on interview invitation if we can assist with spouse employment. DONE 

8. Time will be protected for faculty to interview. DONE | 

1. Respond to the ACGME citation with our new plan which should clearly meet requirements for OB supervision. (Dr. Goforth, Dr. Cavanagh, ASAP) DONE 

2. Submit PIF for ACGME Continued Accreditation Status prior to projected site visit in May 2016.
will need to review and modify existing document to reflect changes. We will be given three months notice of when ACGME will come.

**Strategic Planning**

Dr. Goforth is meeting with the residents to review and update the Vision and Mission Statement. The committee recommended that the Mission and Vision statements need to be much more visible in the GME Clinic and residency documents.

1. Place 18 x 20 inch posters in waiting room and throughout GME Clinic. Place 8 x 10 inch posters inside each exam room. (Kathleen Mattis, Andrea Adams, Gerald Kirk) DONE

2. Meeting on July 7, 2015 during Academic Afternoon to review and update Vision and Mission statements. DONE

**Curriculum Review**

All curricula goals and objectives were updated as of April 2014 and have been distributed to all residents, placed on the L Drive shared folder, and uploaded to New Innovations. Updates have been placed on the L Drive.

Concern about how community preceptors are teaching (residents being treated like students instead of physicians). Urology, ENT, and ICU were concerning because there was a lack of opportunity for procedures.

Didactic sessions need evaluations attached.

Classroom needs changed up to assist with more interaction. Residents need a firm reminder to put away their electronic devices and participate. All eyes down shows disrespect to those that prepared.

Request for more information on clinic practice opportunities.

1. Each faculty member is encouraged to physically meet with their rotation preceptors to go over expectations and answer questions in regards to the residents and the rotation. DONE

2. New Innovations has the capacity to add evaluations to conferences. (Kathleen will work with Dr. Gitu’s schedule) This may be used as a check in tool? For now we will use paper surveys. DONE

3. Encourage the residents to meet with LPG coders to receive feedback on the appropriateness of their billing. DONE

4. Have cases in which billing questions/answers are the goal.

5. Denver Debates (pro/con) on topics suggested by Dr. Goldsmith. Dr. Gitu liked that idea.
The Florida State University College of Medicine Family Medicine Residency Program at Lee Memorial Health System (Fort Myers)

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| Faculty Development | The committee discussed utilizing periodic faculty meetings (goal of one session every 2 months), shared faculty development with the Immokalee Health Education Site faculty, and one live session annually utilizing FSU College of Medicine main campus faculty. Dr. Reyes agreed to work with us in coordinating some faculty development teleconference and live sessions with Immokalee. Our community faculty preceptors should be invited to sessions that would be helpful to them and conducted outside usual office hours.

Additional education is needed to community faculty on expectations.
| 1. Conduct faculty development needs assessment and develop faculty development schedule for 2014-15 year (at least six sessions). DONE
2. Dr. Fashner is now going to coordinate these sessions. DONE, session on interviewing Resident Candidates done in Oct 2015 |
| Minor Event Planning | The committee reviewed the proposed major event schedule for the 2015-16 year (see attachment).

The Resident Retreat utilizing the cruise option has been approved on February 19-21, 2016; Dr. Goforth will attend the retreat in order to provide supervision and receive direct feedback from the resident meetings. The faculty will cover

| 1. Review LMHS, FSU College of Medicine, and faculty schedule to determine optimal date/time for each event. (Dr. Goforth, Kathleen Mattis, ASAP) DONE
2. Develop plans for an annual Employee Appreciation Luncheon each September (last year Dr. Fashner, Andrea, and Jerry coordinated) DONE
3. Dr. Goforth has agreed to go on the cruise with the
The Florida State University College of Medicine Family Medicine Residency Program at Lee Memorial Health System (Fort Myers)

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<table>
<thead>
<tr>
<th>Inpatient Service, Epic In-Baskets, and clinics while residents are away. We will continue Welcome Back Weekend on February 5-6, 2016 in a similar format and seek sponsors for major events. The faculty would also like to consider a cruise for next year’s program review. Additional negation of coverage will need to be confirmed.</th>
<th>Residents. He will be paying for his trip personally. DONE</th>
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<table>
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<tr>
<th>Budget Review</th>
<th>The committee reviewed additional budgetary needs for the 2015-16 academic year. We need an additional full time Psychologist to assist with patient care in the clinic (80% clinical, 20% teaching) and also a secretary to assist the faculty and Kathleen Mattis.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop projected budget needs for these proposed needs and discuss during annual budget review. (Dr. Goforth, Kathleen Mattis, Fall 2015) 2. Encourage LMHS to approve all personnel added to residency program budget.</td>
<td></td>
</tr>
<tr>
<td>Individual Resident Review</td>
<td>The committee reviewed each of our current residents and the CCC recommended that all except Dr. Sadat are ready to promote.</td>
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<tr>
<td>1. Dr. Sadat is on an extended 3 month probation period; Drs. Richard Chazal, Nancy Witham, and Diana Devall will provide direct feedback to Dr. Goforth. Dr. Goforth will then determine if he will be retained to continue training and promote to the PGY-2 level. DR. SADAT RESIGNED IN FEB 2015</td>
<td></td>
</tr>
<tr>
<td>Additional Items of Interest</td>
<td>Noted that the residents are receiving more information than is really needed to be given. Consideration is needed in what is said in front of residents. They need to be buffered from those divisive frustrations that may inadvertently sneak out. Chief’s need counseling to understand that what is shared in faculty meeting is confidential and not shared with the</td>
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<tr>
<td>1. The faculty must carefully consider all issues and come to consensus prior to discussion with the residents. 2. We agreed to establish the first Thursday of Each Month as Faculty only to discuss those items that are necessary. DONE 3. Dr. Gitu and Dr. Selius will work on stressing</td>
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</table>
**The Florida State University College of Medicine Family Medicine Residency Program at Lee Memorial Health System (Fort Myers)**

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<table>
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<tr>
<th>General public unless asked to related information.</th>
<th>the importance of both the Huddles each afternoon and PCMH. DONE, RESIDENTS NOW LEADING HUDDLE SESSIONS 3 DAYS/WEEK</th>
</tr>
</thead>
<tbody>
<tr>
<td>Also noted that PCMH and Huddles needs to be better explained to the residents.</td>
<td>4. The FMC Manual needs to be updates with these policies and procedures. (Jerry to head with Dr. Fashner, Dr. Selius, Andrea, and an MA)</td>
</tr>
<tr>
<td>Residents and faculty are expected to know all policies and guidelines in our Residency Policy Manual and Rotation Goals and Objectives. The faculty must hold the residents accountable for these policies. Infractions of our policies must result in consequences appropriate for the resident or faculty involved.</td>
<td>5. Do not allow residents the options are certain items: checking in basket twice a day (11:00am, 3:00pm); not allowed to change the name of the Resident PCP in Epic. DONE</td>
</tr>
<tr>
<td>Process of requesting changes to be made: Bring request to the Co-Chief Residents, Co-Chief Residents bring recommendation to faculty during faculty meeting where a discussion can be made and a plan developed.</td>
<td></td>
</tr>
</tbody>
</table>
FSU College of Medicine Obstetrics and Gynecology Program at Sacred Heart Health System

Program Improvements:

2014-2015 Members of the Program Evaluation Committee:

Julie DeCesare, MD; Joseph Peterson, MD; Suzanne Bush, MD; Sharon Seidel, MD; John Ervin, MD; Timothy Beiswenger, MD; Kimberly Hood, MD; Donna Maxwell, CNM; EA Antonetti, MD; Brittney Williams, MD; Jessica Jackson, MD; Brianna Phillips, MD, Clyde Dorr, MD.

Female Pelvic Medicine and Reconstructive Surgery (FPMRS) surgical competence was identified as a needed area of training. A FPMRS surgeon, Dr. Ashley King, was recruited, and she started on Oct 1, 2015 in her clinical teaching duties. She is fellowship trained and will enhance the operative and ambulatory experience for the residents in FPMRS.

An obstetrical laborist program was implemented in September of 2014. This program has enhanced the resident experience by adding an additional teaching attending physician on the labor and delivery unit during the day. This physician is assigned to the triage unit and staffs obstetrical triage patients, but may be pulled to other obstetrical areas when needed. When the clinical duties exceed what the residents can handle, the faculty members can step in and assist with the clinical load, without compromising teaching and supervision. Furthermore, the addition of this program has also allowed the development of a night and weekend attending back-up system. On nights and weekends, the additional attending is available to come in and cover clinical cases as the service requires.

On the resident’s survey, 33% of the residents strongly disagreed that the program provides appropriate graduated supervision in the OR, progressing from direct supervision beginning residents to oversight of the activities of residents in their final years of education. The rest of the residents (66%) strongly agreed that the program provided appropriate supervision in the OR. Attending physicians are present in the OR for the entire procedure. To investigate this, the program had a representative from the graduate medical education office meet with the obstetrics and gynecology (OBGYN) residents without residency program leadership present. The follow up from that meeting was that the residents felt that there was adequate, graduated supervision in the OR. Some residents felt that the question was worded such that it could be misinterpreted. The program will continue to monitor and track resident feedback on this moving forward.

A gynecology oncology swing shift was developed in the fall of 2014. The weekends were hectic for the residents, and the daytime labor and delivery team was needed to round on high risk maternal fetal medicine patients, as well as critically ill gynecology oncology patients. This was pulling the needed senior resident off of the labor and delivery unit, and concerns for the ability to adequately cover the labor and delivery unit, as well as support and teach the junior assigned to the labor and delivery services, were identified. The residency implemented a gynecology oncology swing shift, in which a resident is assigned to come in and round on the gynecology oncology patients on Saturdays and Sundays. This resident is usually the gynecology oncology
resident, but may be the gynecology team to assure compliance with duty hours. The resident and
gynecology oncology attending are scheduling the rounding times, to ensure that residents are
compliant with the duty hours. This shift has improved continuity in patient care and allowed the
labor and delivery senior resident to focus more on the obstetrical patients.

Electronic health records (EHR) were implemented into the resident clinic in the fall of 2014 with
full implementation by spring 2015. This platform has improved the ability to provide continuity
with treatment planning and follow-up, as well as providing the educational experience of EHR
implementation and usage. The program will be using this to track clinical outcomes for the
residents. The hospital-based EHR is still not fully implemented; however, the OBGYN resident
teaching service was the first group of physicians to implement CPOE (Computerized Physician
Order Entry). Full implementation of the hospital-based EHR is planned for the summer of 2016.

Quality Improvement/Patient Safety:

All residents have an annual requirement for a patient safety/quality improvement project.
Residents are educated on patient safety and quality improvement methodology by education in
the IHI (Institute for Healthcare Improvement) modules. Each resident is required to complete a
set number of modules per academic year. The course is completed over four years, and the
graduating residents will have a certificate of completion in the IHI Patient Safety and Quality
Improvement project.

Residents are expected to log near misses and safety issues in the hospital web-based ERS (Event
Reporting System) system. Additionally, the residents are expected to attend a minimum of 8
safety huddles per academic year. Patient safety huddles are a daily event and include managers,
administration, and physicians. Resident participation in safety huddle allows them to participate
in the reporting of safety issues, as well as the resolution of those issues.

Full time academic generalists have an expectation from the program director to participate in
patient safety and quality improvement initiatives. Several faculty members are leading patient
safety initiatives. Dr. DeCesare and Dr. Seidel are the physician leads for the OHI (Obstetrical
Hemorrhage Initiative) project at Sacred Heart Hospital. Dr. Bill Schwartz and Dr. Sharon Seidel are
the physician leads for the Preeclampsia Quality project. Dr. DeCesare is the physician lead for the
Ascension national OHI project. Dr. DeCesare is also the physician lead for the SSI (Surgical Site
Infection) project. Residents (and FSU medical students) all participate with the attending staff
and the hospital quality team on these projects.

The residency program has increased its involvement in state and national quality projects.
Resident physicians were fully integrated in the hospital’s OBGYN department’s participation in a
state-wide multidisciplinary quality improvement project on Obstetrical Hemorrhage. Further
resident engagement in hospital quality on abdominal surgical site infections, HTN and pregnancy,
and early elective delivery prevention were also demonstrated.
Quality Improvement Projects:

2015 Drs. K Manek, J DeCesare and J Peterson: Surgical Site Initiative Implementation team to improve TAH SSI at SHHS. Worked with the OR observations and the drill down in the increased SSI rate.

2014-15 Drs. B Williams, J DeCesare, S Seidel, J Jackson: OHI initiative implementation of QBL verses EBL as quantification of blood loss in obstetrical hemorrhage. Data analysis in progress to correlate EBL verses QBL as a measure of the change in the HCT.

2014 Dr. L McAlpin: Revision of the EED (Early Elective Delivery) form to facilitate data collection and proper medical indication for EED

Patient Safety:

Multidisciplinary safety rounds have been implemented at each shift change on the labor and delivery unit and the high risk antepartum unit. The resident leading the rounds, which is usually the service chief, inquires about safety concerns or fatigue issues. Issues identified by residents or nurses are then channeled to the proper leadership team, or the hospital-wide safety huddle, for resolution.

Residents are required to participate in a series of hospital-wide safety huddles. This daily huddle is multidisciplinary and involves staff members at all levels in the hospital. Residents are asked to log participation in this activity and are encouraged to report issues through safety huddle, especially those identified in unit-based safety rounds.

The resident and gynecology oncology attending began scheduling the rounding times such that residents are compliant with the duty hours. This shift has improved continuity in patient care and allowed the labor and delivery senior to focus more on the obstetrical patients.

Transitions in Care:

A formalized paper documenting system for sign out had been previously implemented and is currently followed (IPASS). Education is provided regarding this system, which is to be used as a backup of the verbal checkout given at 7 AM and 7 PM. Faculty are encouraged to evaluate shift changes and suggest improvement as needed via an electronic evaluation form that can be completed real time in the computerized residency software system.

In addition to the verbal sign-out, IPASS written sheets are prepared for all services as a supplement to the verbal sign-out. Each clinical site is working on transition of care monitoring, and a transition in care committee to provide oversight and follow up on this has been formed.

Cisco phones have been introduced and are assigned based on service, so all hospital personnel always know which number to call regarding a patient. It does not matter which resident or
attending is on the service, since the phone moves with the assigned resident and/or attending. This eliminates gaps in coverage for personal cell phones in the hospital and is particularly helpful with information flow regarding patient transfers.

The program implemented a multi-disciplinary "walking rounds" where residents, attendings, nurses and other staff involved in patient care all hear the patients presented and plans of care discussed. This allows for up-to-the-minute contribution from all parties who have had contact with the patient over the previous shift.

Access to Care/Care of the Underserved:

The ambulatory resident serves at the St. Joseph Clinic to provide care to the underserved one-half day per week.

Faculty Development:

The program provides faculty development as part of the regularly scheduled monthly faculty meetings on a variety of topics relevant to teaching and evaluating residents.

On May 1, 2015, the OBGYN residents participated in a resident retreat during which Chris Mulrooney, MPS, PhD, Assistant Dean for GME and organizational psychologist, facilitated a workshop entitled Emotional Intelligence & Other Drivers of our Behavior. In preparation for the workshop, all residents completed two on-line assessments to determine their profile of the three social motives of achievement, affiliation, and power (McClelland, 1985, Human Motivation. New York: Cambridge University Press), as well as their emotional and social competence (Boyatzis, 2007, The creation of the emotional and social competency inventory (ESCI). Boston: HayGroup research report). Residents participated in a variety of leadership simulations to collect live data on their decision-making characteristics, and they then interpreted these data in light of their assessment feedback and the lecture material that Dr. Mulrooney presented. Emotional and social competence was measured using a 360-degree feedback tool so that residents could compare their self-assessment against the assessments of their peers and faculty mentors.

Historically, physicians don’t receive leadership training or insights into emotional intelligence until after residency training is completed. Dr. DeCesare, Program Director, felt it was important that the current cohort of residents in her program be exposed to this theory and its application earlier in their careers. Dr. DeCesare and Dr. Mulrooney are also co-investigators on a research pilot project being led by Greg Turner, EdD, Associate Dean for Faculty Development, which will study the relationship between emotional intelligence and OBGYN resident milestone performance. It is hoped that after the pilot, this study will be expanded to include all FSU-sponsored residency programs.

In conjunction with Sacred Heart Health System Chief Medical Officer, Dr. Jim Ward, Dr. Joan Meek presented an interactive discussion exploring the concept of professionalism and how it impacts our medical care and communication for the OBGYN residents on May 29, 2015.
Honors and Awards:

Jessica Jackson was the winner of ACOG District XII resident research competition-project on Maternal Morbidity and Mortality in Rwanda. She will go on to compete at the ACOG Donald Richardson National Resident Research Competition.

Dr. Jessica Jackson matched at University of Florida as a fellow in Maternal Fetal Medicine.

Ms. Julie Floyd, OB/GYN Residency Coordinator, passed the TAGME (http://www.tagme.org/) certification exam in March 2015 and is now entitled to use the designation of C-TAGME.

Dr. Julie DeCesare was named recipient of the ACOG National CDC Community Service Award for her work with HPV Advocacy in 2015.

Dr. Julie DeCesare was selected for induction into the Alpha Omega Alpha Medical Honor Society by the FSU College of Medicine Delta Chapter in 2015.

Dr. Julie DeCesare was named ACOG District XII Mentor of the Year.

Scholarly Activity:

Dr. Barry Ripps is the director of resident research. He meets on a quarterly basis with the residents, as part of a research round table, which also includes Dr. Raid Amin, Professor of Mathematics and Biostatics at University of West Florida. The objective of this session is for the residents to share their ideas with their peers, and get feedback and critique on their projects. The program also has an outlined resident research curriculum, which includes project deadlines and expectations.

Publications—Journals, Textbook:


Elson MG, DeCesare J. IPV (Intimate Partner Violence) Pearls of Exxcellence. Published on ABOG Pearls of Exxcellence Website Dec 2014.


DeCesare J. Surgical Teaching, APGO LEAP FACULTY DEVELOPMENT online publication. Published online APGO website June 2015.

Bush S. Feedback Module, APGO LEAP FACULTY DEVELOPMENT online publication. Published online APGO website June 2015.

**Book Chapter:**


**Regional or National Presentations:**


DeCesare J, Sebastiao Y.; Suarez Y. Reduction in Primary CD. Breakout session, Tampa, FL, FPQC April 2015.

Jackson J, DeCesare J. Creating a Premedical Student Research Practicum in an OBGYN. Presented Tampa, FL, FPQC, April 2015.


Morton A, Flynn H, DeCesare J. Perinatal Depression Screenin in the Obstetrics Clinic Setting and the Link To Birth Outcomes. AMWA meeting April 2015.


Leadership Roles in National Organizations:

DeCesare J. ABOG Board Examiner
DeCesare, J. Chair Florida ACOG DXII Council of Residency Program Directors 2014-current
DeCesare, J Chair ACOG DXII Healthcare for Underserved Women 2012-current
FSU College of Medicine Pediatric Program at Sacred Heart Health System

Program Improvements:

Supervision: The residents requested to have on-sight 24-hour attending presence, both for supervision, as well as for patient safety and quality of care. As a result, the hospital fully supported moving forward with a 24-hour Pediatric Hospitalist Service going live on November 30, 2015.

Feedback: Residents were appreciative of receiving feedback while on rotations and indicated that they would like feedback on a more regular routine. As result, the program initiated “Friday Feedback” on rotations, with copies provided to the resident and a “cc” to the residency for placement in the resident’s portfolio. In addition, while residents appreciate the monthly meetings with Dr. Jennings, they would also like to meet with Dr. Jennings as individual classes, and have him participate on the inpatient rounds.

Teaching: While residents recognize the significant “on-the-job” teaching that comes with experiential learning, they indicated that they would appreciate more general pediatrics “scheduled” didactics. As a result, the general pediatric faculty have provided significantly more noon conference didactics. Residents also indicated that they appreciate Dr. Jennings’ teaching when he attends inpatient rounds and would like him to do this on a more regular basis. As a result, Dr. Jennings has started rounding monthly with the individual inpatient teams.

Quality Improvement:

The following committees are faculty chaired with resident representation and active participation in these committees while on the particular service rotations. This includes residents presenting patient safety, and/or systems related concerns.

Development of Pediatric Inpatient Performance Improvement Committee
Development of the Pediatric Care Center Performance Improvement Committee
Development of the Pediatric Emergency Department Performance Improvement Committee
PICU Performance Improvement Committee

Patient Safety:

Residents participate in Daily Safety Huddle, where residents present safety concerns noted over the previous 24 hours. Residents also participate on the Patient Experience Committee to address patient/parent identified issues/concerns. The current focus is to improve results related to communication with parents and perception of team amongst nursing and physicians. The program has worked on scripting of communication and engaged nursing to be present during patient/family centered rounds. The residents have been provided in-service training on the hospitals event reporting system and were provided the number for physician hotline for reporting safety events/concerns.
Transitions in Care:

Last year residents developed their own Transitions of Care Template under the guidance of the Pediatric Hospitalists. Residents receive education during orientation on the use of the transitions template, followed by a brief in-service on the first day of their first ward rotation. This information is kept in electronic as well as hardcopy format in the form of a census sheet, which is updated periodically throughout the day. Sign-over of patients is monitored directly by the attending physicians.

Access to Care/Care of the Underserved:

1. Grant for Social Worker in the Pediatric Care Center
   a. Functions as a mental health provider
   b. Serves to help with Case Management for medically complex children
   c. Helps parents in the insurance application process

2. Added a rural practice experience to the resident community pediatrics rotation via a grant from the Healthy Start Coalition. The program has begun a part-time clinic in rural Century, FL under the supervision of a community pediatrician from the rural town of Jay, FL.

Honors and Recognition:

Senior Resident, Dr. Snehal Vala, was selected to the Alpha Omega Alpha Honor Medical Society for his outstanding scholarship and contributions to the field of pediatric medicine.

At the 5th Annual Sacred Heart Hospital GME Research Night, the program won the award for best overall residency research for the 4th consecutive year. In addition, the best individual resident research project award was given to Dr. Fatima Neemuchwala for research on Phenotype Correlation of Different Genotypes in Patients with Cystic Fibrosis.

Dr. Peter Jennings was the invited Speaker at the Western Michigan University School of Medicine, Department of Pediatric and Adolescent Medicine, for the Annual Faculty Retreat in August 2014.

Scholarly Activity:

Dr. James Burns directs residency research and works with Raid Amin, PhD, Professor of Mathematics and Biostatistics at the University of West Florida, who provides statistical support.

Publications:

Presentations:


FSU College of Medicine Internal Medicine Program at Tallahassee Memorial HealthCare

Program Achievements:

- Graduated 2\textsuperscript{nd} residency class
  - 2014: 4 residents graduated
    - 1 graduate remained with the program as faculty
  - 2015: 7 residents graduated
    - 1 graduate secured a Rheumatology Fellowship
    - 1 graduate working as TMH Hospitalists
    - 3 graduates remained in Tallahassee and surrounding area
- Developed a Scholarly Activity Curriculum
- First Quarterly Quality Improvement Day held May 2015, which consisted of residents presenting their assigned quality improvement projects
- Clinic patient volume increased significantly
- 13 presentations involving 12 residents and 9 faculty

Patient Safety:

Patient safety processes are addressed via orientation week presentations, annual Tallahassee Memorial HealthCare University Healthstreams online didactic modules, and morbidity and mortality conferences regarding unexpected deaths. Identified issues can be used to generate quality improvement initiatives and used as an educational tool and internal check system.

Transitions in Care:

A didactic session regarding the essentials of sign-out is presented annually as an introduction to interns and refresher to upper level residents. Residents use Physician Handoff tool in Cerner EMR for the sign-out process. Upper level residents supervise the intern-to-intern sign-out daily at the beginning and end of each shift during the medicine ward months. Residents are taught the importance of accurate and timely documentation, particularly discharge summaries. Residents have the opportunity to rotate through the Tallahassee Memorial HealthCare (TMH) Transition Center and gain different perspectives on outpatient follow-up in often underserved populations.

Access to Care/Care of the Underserved:

During medicine ward months, internal medicine residents receive daily unassigned admissions that are often underserved patients that are either uninsured or underinsured. If uninsured, residents work with case management to find appropriate follow-up options for these patients. Many times, these patients are sent to the TMH Transition Center where social workers assist in the attainment of insurance and ultimately refer these patients back to the Internal Medicine Residency Program Clinic for primary care services.

Scholarly Activity: Follows
<table>
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<th>Abstract/Poster/Oral Presentation Title</th>
<th>Presentation Mode</th>
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<td>Origin of Dengue Virus Outbreak in Martin County, FL USA 2013</td>
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<td>Vishal Dahya, MD</td>
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<td>Philadelphia, PA</td>
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<td>Majorie Robinson, MD</td>
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<td>Utilizing Computed Tomographic Angiography to Evaluate Coronary Artery Disease in Patients on Long-</td>
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<td>Term Antiretroviral Therapy</td>
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<td>Peptostreptococcus Endocarditis presenting as Lumbar Discitis in an Immunocompromised Patient</td>
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<td>Vishal Dahya, MD</td>
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<td>The Use of Computed Tomography for Body Composition Assessment: From Cancer to Cardiovascular Disease</td>
<td>Cancer Research</td>
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<td>Body Composition Assessed by Computed Tomography Predicts Length of Stay after TAVR</td>
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<td>An Unusual Case of Pyoderma Gangrenosum of Breast after Bilateral Breast Reduction</td>
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<td>Pernicious Anemia: A Rare but Important Cause of Jaundice</td>
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<td>Respiratory Failure from Pulmonary Kaposi's Sarcoma</td>
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<td>A Rare Case of Amlodipine Induced Subacute Cutaneous Lupus</td>
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<td>Mediastinal lymphadenopathy in an African American male – your ordinary sarcoidosis?</td>
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<td>Not Your Usual Peritonitis</td>
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<td>A Childhood Vasculitis Presenting in Adulthood</td>
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<td>Successful Primary Percutaneous Coronary Intervention for Acute inferior Myocardial Infarction in a Malignant Coursing Right Coronary Artery</td>
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<td>Linear IgA following Infliximab infusion for treatment of Ulcerative Colitis</td>
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<td>Flu Shot Administration</td>
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<td>Anthony Herzog, MD (Team Lead)</td>
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<td>Jillianne Grayson, MD</td>
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<td>Marta Klasinska, MD</td>
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<td>Nathan Blake, MD</td>
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<td>Sura Jermanus, MD (Leader) Rochelle Marill, MD</td>
<td>Roberto Mendoza, MD Ricardo Gonzalez-Rothi, MD Ingrid Jones-Ince, MD Brittany Clark, MD Gregory Todd, MD</td>
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FSU College of Medicine General Surgery Program at Tallahassee Memorial HealthCare

During AY 2014-2015, the program prepared and submitted a new program application, recruited and provided faculty development for faculty for the program, established program letters of agreement with Nemours pediatric surgery group at Wolfson’s Children’s Hospital in Jacksonville and with transplant surgery at Halifax Health in Daytona. The program director assisted Tallahassee Memorial HealthCare with the hiring of new general surgery faculty and with the renovation of the clinical space and development of a clinical practice.

Ms. Lilly H. Lewis was hired as the program coordinator. Ms. Lewis previously served as an Academic Program Specialist at the FSU College of Medicine, assisting with Graduate Studies. Ms. Lewis earned her Bachelor of Arts in Spanish from the University of Georgia and her Master of Arts in International Affairs from FSU. She has previous experience in education and in administrative roles. She was nominated and was a finalist for the FSU Gabor Superior Accomplishment Award in 2014.

The site visit for the program occurred on March 12, 2015, and the program was notified about the initial accreditation being granted in June of 2015. The program was accredited for two residents per year, plus an additional two preliminary positions, for an initial two-year cycle. Recruitment will begin with participation in the 2016 National Resident Matching Program.

Scholarly Activity:

Publications- Journals, Textbook


Regional or National Presentations:


Robie DK. “Pediatric Thyroid Cancer.” University of Florida College of Medicine, Jacksonville, FL. 25 September 2014. Grand Rounds.
MEMORANDUM

TO: President John Thrasher
FROM: Sally McRorie
DATE: February 4, 2016
Request for Approval

Adopted November 2009, Board of Governor’s Regulation 2.002, requires each university to adopt University Work Plans and Annual Reports. These documents must reflect the institution’s distinctive mission and focus on core institutional strengths within the context of State University System goals and regional and statewide needs.

The Annual Report is an update to the original report submitted in December 2009. The Annual Report includes narrative and statistical information on the university’s financial resources and expenditures, personnel, enrollment, undergraduate and graduate education, and research and economic development. The information is presented in a template mandated by the Board of Governors (BOG). The BOG requires the Board of Trustees approval to complete the submission process.

The Board of Governors will use this information to assess university performance on quality and effectiveness indicators in the areas of instruction, research and public service for accountability and performance funding purposes. The reports help the BOG assess statewide educational needs.

This request is to approve the 2014-15 University Annual Report for Board of Governors’ review at its March 16-17, 2016 meeting.
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<tr>
<th>Headcount Enrollments</th>
<th>Fall 2014</th>
<th>% Total</th>
<th>2013-2014 % Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL</td>
<td>41,737</td>
<td>100%</td>
<td>1%</td>
</tr>
<tr>
<td>White</td>
<td>25,575</td>
<td>64%</td>
<td>-1%</td>
</tr>
<tr>
<td>Hispanic</td>
<td>6,661</td>
<td>16%</td>
<td>7%</td>
</tr>
<tr>
<td>Black</td>
<td>3,377</td>
<td>8%</td>
<td>-3%</td>
</tr>
<tr>
<td>Other</td>
<td>5,124</td>
<td>12%</td>
<td>6%</td>
</tr>
<tr>
<td>Full-Time</td>
<td>35,558</td>
<td>85%</td>
<td>1%</td>
</tr>
<tr>
<td>Part-Time</td>
<td>6,179</td>
<td>15%</td>
<td>-1%</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>32,583</td>
<td>78%</td>
<td>1%</td>
</tr>
<tr>
<td>Graduate</td>
<td>7,967</td>
<td>19%</td>
<td>-1%</td>
</tr>
<tr>
<td>Unclassified</td>
<td>1,107</td>
<td>3%</td>
<td>5%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Degree Programs Offered</th>
<th>2015 Carnegie Classifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL (as of Spring 2015)</td>
<td>265 Doctoral Universities: Highest Research Activity</td>
</tr>
<tr>
<td>Bachelor's Bachelor's</td>
<td>Doctoral Universities: Highest Research Activity</td>
</tr>
<tr>
<td>Master's Master's &amp; Specialist's</td>
<td>Balanced arts &amp; sciences/professions, high graduate coexistence</td>
</tr>
<tr>
<td>Research Doctorate</td>
<td>Comprehensive Doctoral with medical/veterinary</td>
</tr>
<tr>
<td>Professional Doctorate</td>
<td>Community Engagement</td>
</tr>
<tr>
<td>Faculty</td>
<td>Yes</td>
</tr>
<tr>
<td>(Fall 2014)</td>
<td>Full-Time</td>
</tr>
<tr>
<td>Tenure &amp; Ten. Track</td>
<td>1,056</td>
</tr>
<tr>
<td>Non-Tenured Faculty</td>
<td>755</td>
</tr>
</tbody>
</table>

**DEGREE PRODUCTIVITY AND PROGRAM EFFICIENCY**

<table>
<thead>
<tr>
<th>Bachelor's Degrees</th>
<th>Master's Degrees</th>
<th>Doctoral Degrees</th>
<th>Bachelor's by Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>7,866</td>
<td>7,960</td>
<td>8,105</td>
<td>8,421</td>
</tr>
<tr>
<td>2,277</td>
<td>2,201</td>
<td>2,368</td>
<td>2,114</td>
</tr>
<tr>
<td>818</td>
<td>850</td>
<td>736</td>
<td>613</td>
</tr>
<tr>
<td>34%</td>
<td>41%</td>
<td>22%</td>
<td>25%</td>
</tr>
</tbody>
</table>

**Graduation Rates by Student Type**

<table>
<thead>
<tr>
<th>LAST YEAR OF COHORT</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>6yr FTIC</td>
<td>79%</td>
<td>80%</td>
<td>79%</td>
<td>80%</td>
<td>79%</td>
</tr>
<tr>
<td>4yr AA Transfers</td>
<td>78%</td>
<td>75%</td>
<td>77%</td>
<td>76%</td>
<td>74%</td>
</tr>
<tr>
<td>5yr Other Transfers</td>
<td>74%</td>
<td>75%</td>
<td>77%</td>
<td>76%</td>
<td>74%</td>
</tr>
</tbody>
</table>

**Bachelor's Degrees Without Excess Hours**

<table>
<thead>
<tr>
<th>2012-13</th>
<th>2013-14</th>
<th>2014-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>75.1%</td>
<td>73.9%</td>
<td>78.2%</td>
</tr>
</tbody>
</table>
Dashboard

DEGREES AWARDED IN PROGRAMS OF STRATEGIC EMPHASIS (PSE)

PSE DEGREES AS PERCENT OF TOTAL AWARDED

<table>
<thead>
<tr>
<th>Year</th>
<th>Bachelor's</th>
<th>Graduate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>38%</td>
<td>39%</td>
</tr>
<tr>
<td>2011-12</td>
<td>37%</td>
<td>38%</td>
</tr>
<tr>
<td>2012-13</td>
<td>38%</td>
<td>38%</td>
</tr>
<tr>
<td>2013-14</td>
<td>39%</td>
<td>39%</td>
</tr>
<tr>
<td>2014-15</td>
<td>38%</td>
<td>42%</td>
</tr>
</tbody>
</table>

2014-15 Degrees

- STEM: 536
- GAP ANALYSIS: 375
- GLOBAL: 152
- HEALTH: 533
- EDUCATION: 78

RESEARCH AND COMMERCIALIZATION ACTIVITY

Total R&D Expenditures ($ Millions) with Percent Funded Externally

<table>
<thead>
<tr>
<th>Year</th>
<th>Externally</th>
<th>Internally (State &amp; Univ.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>227.3</td>
<td>71%</td>
</tr>
<tr>
<td>2010-11</td>
<td>230.4</td>
<td>64%</td>
</tr>
<tr>
<td>2011-12</td>
<td>225.4</td>
<td>66%</td>
</tr>
<tr>
<td>2012-13</td>
<td>250.9</td>
<td>64%</td>
</tr>
<tr>
<td>2013-14</td>
<td>252.5</td>
<td>66%</td>
</tr>
</tbody>
</table>

Licenses and Licensing Revenue

<table>
<thead>
<tr>
<th>Year</th>
<th>Licensing Revenue ($M)</th>
<th>Licenses Executed</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013-11</td>
<td>$1.31</td>
<td></td>
</tr>
<tr>
<td>2013-12</td>
<td>$1.47</td>
<td></td>
</tr>
<tr>
<td>2013-13</td>
<td>$1.33</td>
<td>$0.55</td>
</tr>
<tr>
<td>2013-14</td>
<td>$1.04</td>
<td>$2.99</td>
</tr>
</tbody>
</table>

RESOURCES

ACTUAL FUNDING PER FTE

<table>
<thead>
<tr>
<th>Year</th>
<th>State appropriation (GR &amp; Lottery)</th>
<th>State-funded Financial Aid (to the Student)</th>
<th>Tuition &amp; Fees (from Student)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>$7,743</td>
<td>$10,289</td>
<td>$13,495</td>
</tr>
<tr>
<td>2011-12</td>
<td>$4,179</td>
<td>$3,934</td>
<td>$4,102</td>
</tr>
<tr>
<td>2012-13</td>
<td>$6,638</td>
<td>$1,322</td>
<td>$1,209</td>
</tr>
<tr>
<td>2013-14</td>
<td>$8,086</td>
<td>$1,322</td>
<td>$1,209</td>
</tr>
<tr>
<td>2014-15</td>
<td>$8,883</td>
<td>$1,322</td>
<td>$1,209</td>
</tr>
</tbody>
</table>

Note: Tuition and Fee revenues include tuition, tuition differential fee and E&G fees (i.e., application, late registration, and library fees) based on the actual amount collected (not budget authority) by universities as reported in their Operating Budget OBE reports. Other local fees that do not support E&G activities are not included here. Please note that a portion of the Tuition & Fees is supported by federal SFA programs (e.g., Pell grants). State-funded Student Financial Aid amounts include the 11 SFA programs that CSFA reports annually. State Appropriations includes General Revenues, Lottery, and Other Trust funds (i.e., Federal Stimulus for 2009-10 and 2010-11 only) that are directly appropriated to the university as reported in Final Amendment Package. Student FTE are actual and based on the standard IPEDS definition of FTE (equal to 30 credit hours for undergraduates and 48 for graduates). This data does not include funds or FTE from special units (i.e., IFAS, Health Science Center, or Medical Schools). Not adjusted for inflation.
Dashboard

POST-GRADUATION METRICS

Percent of Bachelor's Graduates Employed or Continuing their Education One Year After Graduation

<table>
<thead>
<tr>
<th>Year</th>
<th>Full-time</th>
<th>Earning $25,000+</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>63.0%</td>
<td></td>
</tr>
<tr>
<td>2011-12</td>
<td>63.4%</td>
<td></td>
</tr>
<tr>
<td>2012-13</td>
<td>69.6%</td>
<td>60.3%</td>
</tr>
<tr>
<td>2013-14</td>
<td>67.9%</td>
<td>59.1%</td>
</tr>
</tbody>
</table>

Notes: Percentages are based on the number of recent baccalaureate graduates who are either employed full-time or continuing their education in the U.S. (based on the National Student Clearinghouse data). Full-time employment is based on those who earned more than a full-time (40 hours a week) worker making minimum wage. Due to limitations in the data, the continuing enrollment data includes any enrollment the following year regardless of whether the enrollment was post-baccalaureate or not. Board of Governors staff found 90% of the total 2013-14 graduating class.

See Table 40 within this report for additional information about this metric.

Wages of Full-time Employed in Florida Baccalaureates One Year After Graduation

5th, 25th, 50th, 75th and 95th Percentiles

<table>
<thead>
<tr>
<th>Year</th>
<th>5th Percentile</th>
<th>25th Percentile</th>
<th>50th Percentile</th>
<th>75th Percentile</th>
<th>95th Percentile</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010-11</td>
<td>$39,100</td>
<td>$41,200</td>
<td>$56,000</td>
<td>$59,000</td>
<td>$59,700</td>
</tr>
<tr>
<td>2011-12</td>
<td>$38,800</td>
<td>$42,700</td>
<td>$54,500</td>
<td>$56,800</td>
<td>$59,000</td>
</tr>
<tr>
<td>2012-13</td>
<td>$30,300</td>
<td>$31,600</td>
<td>$42,100</td>
<td>$59,000</td>
<td>$59,700</td>
</tr>
<tr>
<td>2013-14</td>
<td>$32,700</td>
<td>$27,000</td>
<td>$42,700</td>
<td>$59,700</td>
<td>$59,700</td>
</tr>
</tbody>
</table>

Notes: Wage data is based on Florida's annualized Unemployment Insurance (UI) wage data for those graduates who earned more than a full-time employee making minimum wage in the fiscal quarter a full year after graduation. This UI wage data does not include individuals who are self-employed, employed out of state, employed by the military or federal government, or those without a valid Social Security number. In 2013-14, these data accounted for 40% of the total graduating class. This wage data includes graduates who were employed full-time (regardless of their continuing enrollment). Wages are provided for 5th, 25th, 50th, 75th and 95th percentiles. Median wages are identified by bolded values. The interquartile range (shown in italics) represents 50% of the wage data. Wages rounded to nearest hundreds.
## Performance Based Funding Metrics

<table>
<thead>
<tr>
<th>Metric</th>
<th>2012-13</th>
<th>2013-14</th>
<th>CHANGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Percent Employed Full-time or Continuing their Education</td>
<td>69.56%</td>
<td>67.92%</td>
<td>-1.6%</td>
</tr>
<tr>
<td>Median Wages of Bachelor's Graduates Employed Full-time in Florida</td>
<td>$31,600</td>
<td>$32,700</td>
<td>3.5%</td>
</tr>
<tr>
<td>Cost per Bachelor's Degree</td>
<td>$26,700</td>
<td>$27,820</td>
<td>4.2%</td>
</tr>
<tr>
<td>Six-Year Graduation Rate for First-time-in-College (FTIC) Students</td>
<td>54.85%</td>
<td>54.04%</td>
<td>-0.8%</td>
</tr>
<tr>
<td>Academic Progress Rate</td>
<td>90.70%</td>
<td>91.76%</td>
<td>1.1%</td>
</tr>
<tr>
<td>Bachelor's Degrees Awarded within Programs of Strategic Emphasis</td>
<td>37.53%</td>
<td>39.07%</td>
<td>1.5%pts</td>
</tr>
<tr>
<td>University Access Rate</td>
<td>29.99%</td>
<td>28.39%</td>
<td>-1.6%pts</td>
</tr>
<tr>
<td>Graduate Degrees Awarded within Programs of Strategic Emphasis</td>
<td>38.50%</td>
<td>41.97%</td>
<td>3.5%pts</td>
</tr>
<tr>
<td>Board of Governors Choice Metric: Number of Faculty Awards</td>
<td>7</td>
<td>2</td>
<td>-5</td>
</tr>
<tr>
<td>Board of Trustees Choice Metric: National rank higher than predicted by</td>
<td>119</td>
<td>114</td>
<td>-4.2%</td>
</tr>
</tbody>
</table>
Key Achievements (2014 – 2015)

STUDENT AWARDS/ACHIEVEMENTS
1. Molly R. Gordon, a junior majoring in biological science, won a Goldwater Scholarship, awarded to the nation's brightest mathematicians, science and engineering college sophomores and juniors.
2. Daniel Hubbard, who recently came to FSU after serving for five years as an Army medic, has been named a 2015 Truman Scholar, a prestigious national award given to college juniors who seek to improve their communities through public service.
3. Juan Lopez, one of 40 students selected nationwide as Paul Ambrose Scholars, will spend the next year exploring population health challenges.

FACULTY AWARDS/ACHIEVEMENTS
1. Joe Travis and Roy Baumeister were elected into the prestigious American Academy of Arts and Sciences. John Corrigan was named a fellow of the National Humanities Center, Richard Feiock was named a fellow of the National Academy of Public Administration and Roy Baumeister and Matthew Goff received Humboldt Research fellowships.
2. Daniel Kaplan, researcher in the Department of Biomedical Sciences identified a protein with promise for cancer therapy.
3. Dr. Judy Bowers, Professor of Choral Music Education at the Florida State University, was recognized by the National Association for Music Education (NAfME) as one of two Lowell Mason Fellows.

PROGRAM AWARDS/ACHIEVEMENTS
2. The College of Education's online graduate program ranks No. 2 in the nation among both public and private universities. The College of Criminology and Criminal Justice's online graduate program was No. 7 overall, and No. 4 among public universities, in U.S. News & World Report's first-ever ranking of online criminal justice programs.
3. The Florida State University College of Medicine is ranked seventh on the nation's top 10 producers of family physicians according to the American Academy of Family Physicians

RESEARCH AWARDS/ACHIEVEMENTS
1. The National Institute of Mental Health has awarded $10.4 million to a team of researchers led by Florida State University Distinguished Research Professor Amy Wetherby to implement a community-based approach to early intervention for children with autism.
2. Florida State was one of 11 institutions in the nation awarded a Nurse Education, Quality and Retention: Veterans' Bachelor of Science Degree in Nursing Program (VBSN) grant from the U.S. Department of Health and Human Services' Health Resources and Services Administration (HRSA).

INSTITUTIONAL AWARDS/ACHIEVEMENTS
1. FSU received the largest gift in its history, $100 million from Jan Moran and the Jim Moran Foundation to create the nation's largest interdisciplinairy, degree-granting school of entrepreneurship.
2. The Chronicle of Higher Education recently highlighted FSU's efforts to keep homeless students on track. Florida State offers comprehensive support for homeless students. Students who have enrolled in the Unconquered Scholars program have a 95.5 percent retention rate and an average GPA of almost 3.0.
Narrative

Limit narrative to one page per section (a 9pg max). Arial 11 point font.

Teaching and Learning
STRENGTHEN QUALITY AND REPUTATION OF ACADEMIC PROGRAMS AND UNIVERSITIES

Florida State is recognized as one of the State's two preeminent universities and met all 12 of the preeminent metrics. The university is highly dependent on the resources provided through preeminence and has hired over 80 new tenure/tenure track faculty, more than 30 teaching faculty and 7 research and clinical faculty with these funds.

Florida State is among the best universities in the United States and the world according to the Times Higher Education World University rankings 2015-2016. FSU is one of 147 U.S. institutions on the list of 800 universities ranked worldwide. Among U.S. public universities, FSU is tied with 10 other institutions at No 32 on the list.

The university continues to be ranked among the best universities in the country, according to U.S. News & World Report, which ranked FSU 43rd among all public national universities in its 2016 edition of America's Best Colleges.

Florida State continues to rank high at 44th among publics on the QS World University Rankings and 49th among public universities in the ARWU (Shanghai) World rankings.

Investments are being made to diversify our student body, faculty and staff. This year, we increased funding to recruit and retain first generation students. This investment should result in increasing our student diversity as well as make us more attractive to Pell eligible students. We have changed the distribution of financial aid funds so students can receive their aid 10 days before the first day of classes. This will enable students to better manage their funds and reduce the need for short-term loans. We have been successful in enrolling a record number of CARE students that began this summer.

The university received the Higher Education Excellence in Diversity (HEED) Award from INSIGHT Into Diversity magazine, the oldest and largest diversity-focused publication in higher education. The HEED Award measures an institution's level of achievement and intensity of commitment in regard to broadening diversity and inclusion on campus through initiatives, programs and outreach; student recruitment, retention and completion; and hiring practices for faculty and staff.

The FAMU/FSU College of Engineering hosted a visit by the ABET accreditation team. It seems very likely that the College will receive full reaccreditation after their report in July 2016.

Florida State University was ranked number 22 on Kiplinger's best value public colleges in 2015.

The university was ranked number 1 by Cosmopolitan magazine for the most beautiful campus.
INCREASE DEGREE PRODUCTIVITY AND PROGRAM EFFICIENCY

The best way to increase degree production and efficiency is to retain our students and graduate them in a timely manner. This year’s retention rate remains 93% and for the past 5 years we’ve maintained retention rates above 90%.

The university continues to invest in new ways to make improvements in the graduation and retention of our students. A critical component in making these improvements is enhancing the student experience. We have added a new course scheduling interface application that allows students to view multiple schedules side-by-side and compare options in real-time. This initiative complements our Think 15 campaign that encourages students to enroll in 15 credit hours per term. The goal is to promote on-time graduation and to change the norm and culture so that “full-time” means 15 credits per term rather than 12. We need to ensure that students, parents, advisors and faculty understand that students who take 15 credit hours per semester generally perform better academically and that there are real cost savings and other benefits to students, including:

- increase the likelihood of graduation
- less opportunity cost (get a job, earn income sooner)
- lower cost for students (pay less tuition overall for a college degree)
- lower cost for FSU in support services
- lower cost to the state and taxpayers
- increase access for other students

FSU is committed to making college affordable for all students, particularly but not limited to low income, first generation students. We have made several changes in recent years to cover tuition and fees for undergraduate students with need. Our Board of Trustees is equally concerned about this issue and has been working with the President and his staff to make college more affordable. There is no lack of desire, it is a financial issue. FSU has implemented or continues to implement the following initiatives to make progress towards this goal:

1. Pell Promise Awarding Methodology - Ensures that students with the greatest financial need have the best possible financial aid award packages. FSU adopted and implemented a policy under which resident, Pell eligible students who apply in a timely manner are awarded grants and scholarships up to the value of 30 credits hours.
2. Financial Aid Disbursement Policy - Federal law requires that Pell eligible students (low income, neediest) are disbursed financial aid within seven days of the start of class. FSU implemented a policy that exceeds this requirement by disbursing financial aid to all eligible students 10 days before the start of classes.
3. FSU CARE summer program - Eligible first generation, low income and socioeconomically disadvantaged students are admitted to the university each summer semester. To remove financial barriers for this group, 100% of the program’s cost is covered with grants and scholarships.
4. First Generation Students - FSU made a financial commitment to first generation, low income and socioeconomically disadvantaged students for the award year 2015-2016. Seventy-five percent of the cost of attendance was met with grants and scholarships.
5. FSU High School Partners Program - FSU embarked on an initiative partnering with high schools with high number of the low income, first generation student population. One of our goals is to assist students with the admission and financial aid processes.
6. FSU financial literacy program - The Office of Financial Assistance is implementing a comprehensive financial literacy program for students. Initial plans focus primarily on first generation, low income and socioeconomically disadvantaged students. Financial aid counseling sessions focus on financial literacy, debt management and the financial aid application process.
INCREASE THE NUMBER OF DEGREES AWARDED IN S.T.E.M. AND OTHER PROGRAMS OF STRATEGIC EMPHASIS

The number of graduate and undergraduate degrees awarded across all programs of strategic emphasis has increased, with a particular focus on increasing faculty in STEM and Health fields. Graduates across all strategic areas evidenced a 4.5% increase over the last 5 years. The greatest gains were made in the areas of GAP Analysis (130% increase), STEM (18% increase) and Health (17% increase). We attribute these increases to the university’s focus on increasing faculty in STEM and Health fields. Also, state-supported increases in funding for graduate students and the university’s efforts to improve health benefits for students are contributing to the university’s success in attracting top applicants and graduates.

The number of baccalaureate degrees awarded in STEM fields increased by 47% over the past 5 years. The university’s investment in faculty hires in STEM fields is critical to ensuring that we are able to offer the courses and research experiences to retain and graduate STEM students. We continue our efforts to recruit top students interested in STEM majors. These efforts include identifying high school students with high achievement in math and science and getting the word out that FSU is an ideal place for them to pursue their studies.

We continue to focus on new degree programs in areas of strategic emphasis. The Masters of Nurse Anesthetics started in Fall 2015, the Masters in Physician Assistant Studies will begin in the summer of 2017 and we expect to start an interdisciplinary baccalaureate health degree program in Fall 2016. All of these programs will be areas of high demand.

Narrative

Scholarship, Research and Innovation
STRENGTHEN QUALITY AND REPUTATION OF SCHOLARSHIP, RESEARCH AND INNOVATION

To achieve Top 25 public university status, the University continued to invest in STEM fields. As in the previous year, a number of strategic areas of great importance to the State and Nation were targeted for faculty recruitment. These include three interdisciplinary faculty hiring initiatives - Energy and Materials, Coastal and Marine Research and Brain Health and Disease as well as searches to complement the development of the Institute for Successful Longevity (ISL).

A total of eight new tenure-track faculty in the Energy & Materials Initiative arrived during the 2014-15 fiscal year: two in Chemistry, one in Physics, one in Scientific Computing, two in Chemical Engineering, one in Mechanical Engineering and one in Industrial & Manufacturing Engineering. This brings to 11 the number of new faculty hired in this initiative. Thus far, three have obtained significant external funding from the National Science Foundation and many proposals are pending to a variety of Federal agencies. Arguably, FSU's Energy & Materials Initiative is the most ambitious effort in the nation in this particular thematic area.

A second interdisciplinary hiring initiative in the area of Marine and Coastal Research continued to recruit new faculty. Four new faculty recruited in the previous academic year arrived at the University: one in Biological Science and three in Earth, Ocean & Atmospheric Science (EOAS). Recruiting efforts in 2014-15 resulted in the hiring of two biologists, a marine policy expert in Geography and a marine geochemist in EOAS. These faculty hires build on our excellent programs and faculty in the departments of Biological Science, EOAS and in the Coastal & Marine Laboratory. These hires should attract new funding...
opportunities, created directly or indirectly by the oil spill, and provide research and graduate education opportunities for these new faculty and their colleagues.

FSU's interdisciplinary faculty hiring initiative in the area of Brain Health and Disease resulted in the hiring of three neuroscientists, including one who utilizes functional MRI in her research. Another fMRI-user was recruited who will be joining our faculty in August 2016. A second neuroscientist was hired in the Department of Biological Science who uses novel epigenetic approaches to explore pathological processes in model systems. A Director was appointed to the newly-created Institute for Successful Longevity.

To bolster the cadre of existing FSU faculty in ISL, searches were conducted during the past fiscal year, and two tenure-track faculty were hired in the College of Communication and Information. It is anticipated that five additional faculty will be hired for this initiative in the near future. This institute is devoted to interdisciplinary research, training and service focused on understanding the mechanisms of age-associated disorders and functional/cognitive declines; developing holistic interventions to promote healthy aging and high quality of life; disseminating this knowledge to the community, to aging adults and to their caregivers; and cultivating the scientific, social, and political leadership on this issue that will engage the nation.

INCREASE RESEARCH AND COMMERCIALIZATION ACTIVITY

A contract to purchase the fMRI machine is finalized and building renovations are underway to accommodate the fMRI. This new fMRI will be used by researchers within the College of Medicine, Neuroscience, National High Magnetic Field Lab, Psychology, the Brain Health and Disease initiative, College of Human Sciences, Institute of Sports Sciences and Medicine, Institute for Successful Longevity and Engineering.

Internationally renowned physicist and National Academy of Science member Laura H. Greene was hired as the new chief scientist for the National High Magnetic Field Laboratory (MagLab), concluding a decade-long search for a position critical to the advancement of magnetic field research.

We are actively recruiting several condensed matter physicists to interface with the NHMFL and a senior nuclear magnetic resonance (NMR) spectroscopist to lead liquid state NMR at the NHMFL. Several searches are underway for mid-level to senior faculty in some of our interdisciplinary centers/institutes including the High Performance Materials Institute, the Applied Superconductivity Center and the Center for Advanced Power Systems.

As a preeminent research university, our faculty are engaged in high level, cutting edge research. Fiscal year 2014 was our record year in grant activity. In 2015, our faculty submitted 141 more proposals than our previous record year which equates to an approximate 10% increase in the number of proposals. The faculty are working hard and the payoff from new investments made with preeminence funds shows. The total number of dollars awarded is outstanding, over $200 million. As for increasing commercialization activity, FSU has a deliberate approach in translating intellectual property to the marketplace and we are working to accelerate the process. FSU begins with a large number of invention and creative work disclosures, next we file a significant number of patent applications that result in a set of patents, and then a smaller set of licenses and startup companies are established.

Example of our success in moving research to the marketplace:
Lexia Learning Systems, LLC, a Rosetta Stone Company, entered into an exclusive commercial license agreement to use Florida State University professor Barbara Foorman’s Florida Center for Reading Research (FCRR) Reading Assessment (FRA) software. The FRA software can accurately determine the reading level of pre-K through 12th-grade students using only around half of the reading passages and question sets required by current testing methods. Thus, students spend fewer days in testing.

Example of a startup company based on an FSU technology:
- Stadium Runner is a startup company based on Florida State University professor Ian Winger’s Communication Box technology. Essentially, FSU sports fans have the opportunity to order concession food from their seats via a smartphone or web app. That app would automatically transmit orders to Winger’s Communication Box technology, installed at all concession stands. The box prints an order ticket for the concessioners, enabling Stadium Runner employees to retrieve orders and deliver them directly to the stadium seat.

INCREASE COLLABORATION AND EXTERNAL SUPPORT FOR RESEARCH ACTIVITY

With targeted Interdisciplinary hiring initiatives in the areas of Energy and Materials, Marine and Coastal Research, and Brain Health and Disease as well as continued development of the Institute for Successful Longevity, new initiatives are expected to foster cross-disciplinary research collaborations of the type that will increase our success in competing for program project and center grants as well as provide unique vehicles for research training and education.

To foster the above initiatives, two major research facilities are being planned. The Interdisciplinary Research & Commercialization Building (IRCB) to be located in the vicinity of the National High Magnetic Field Laboratory (NHMFL), is currently in the design development phase of construction. The current plan is for a 115,000 GSF structure which will house up to 22 independent faculty groups with room for 6 visiting faculty, 15 staff, 20 postdoctoral fellows and 125 graduate students. This building will be a “research condominium” in which collaborative groups of faculty from different academic units co-locate to work on shared research projects. In addition to the IRCB, a functional magnetic resonance imaging (fMRI) facility is being built in the College of Medicine. The fMRI center will be a shared core facility to be used by a broad spectrum of faculty, and it will create significant new opportunities for external funding.

The hiring initiative in Marine and Coastal Ecosystems leverages our excellent programs in oceanography, geological sciences and biology as well as our superb marine laboratory facilities on the Gulf of Mexico. Recruiting has created a highly interactive group of researchers who bring to the table a variety of tools to understand complex problems. Of great interest is the hiring of a marine policy person who specializes in the role of marine protected areas (MPAs) in the sustainability of fisheries. Our coastal and marine faculty are well poised to utilize new funding opportunities in the areas of habitat restoration.

Creation of interdisciplinary institutes is another way that the university builds research collaborations. For example, the Florida Center for Reading Research (FCRR) has been very successful in competing for federal research grants. FCRR has a total active award portfolio of nearly $62M. The Learning Systems Institute (LSI) includes multiple interdisciplinary centers which includes the Florida Center for Research in Science, Technology, Engineering and Mathematics (FCR-STEM), the Center for International Studies in Educational Research and Development (CISERD) and the Center for Learning and Performance Systems.
Florida State University is a partner in the $17.5 million award that the University of Florida received to translate medical research discoveries more quickly into healthier Florida communities. FSU has about 2,500 community physicians on our clerkship faculty, and collectively they have more than 2 million patients, representing a demographic cross-section of Florida’s population. For several years the College of Medicine has been growing its Clinical Research Network, which provides clinical, translational and behavioral research opportunities for clinicians, faculty and students in real-world, community-based settings. Projects in that network often involve overlapping partnerships with UF and the OneFlorida Clinical Research Consortium.

Narrative

Community and Business Engagement

STRENGTHEN QUALITY AND REPUTATION OF COMMITMENT TO COMMUNITY AND BUSINESS ENGAGEMENT

Florida State continues to collaborate with the city of Tallahassee and Leon County to create an upscale mixed-use development highlighting a combination of retail and housing. The Gaines Street district plan envisions a new conference center facility of up to 100,000 square feet, with additional capacity coming from reusing and integrating existing spaces that include the Turnbull Conference Center and exhibit hall and meeting rooms in the Civic Center. Combined with the new conference space within the proposed conference hotel, a total of 250,000 square feet of conference space is planned for the district. We continue to raise private funds to offset the costs for a new Business School. The new home of FSU’s College of Business, to be known as “Legacy Hall” will be relocated on the eastern edge of the O’Connell Block, a prominent area facing the Chain of Parks. The location of Legacy Hall, near this burgeoning business complex, will give College of Business students and faculty ample opportunity to collaborate with civic leaders, corporate partners, and other academic units in a variety of exciting initiatives.

Entrepreneurial Space is planned on the eastern edge of Gateway Park for some of FSU’s School of Hospitality programs. The Macomb Walk is a proposed path through the Arena District used primarily by pedestrians, although plans call for vehicle access from West Pensacola Street into the hotel courtyard. There will also be ground-level retail, cafes or restaurants. The Civic Center plaza (Seminole Plaza) will be reconfigured into a multi-purpose space. Diverse activities are envisioned in this space. Gateway Future Development and Perk is proposed on the southwest corner of the Civic Center at South Macomb and West Madison streets.

Three members of the Marching Chiefs have given the greatest gift of all — the gift of life. Florida State seniors Breanna Amborn and Zachary Miller showed their courage by donating stem cells through the Be the Match organization last year, and senior Kyle Willard made a stem cell donation in September. The three band members signed up for the organization’s national registry through donation drives coordinated by the Kidz1stFund.

Florida State University has joined the Healthier Campus Initiative of the Partnership for a Healthier America (PHA), which works with the private sector to make it easier for people to choose healthier living. This new initiative compliments the Healthy Campus 2020 (HC2020) Initiative in which the university addresses environmental factors that reduce risk; educates the campus community about healthy lifestyles; and promotes positive choices and behaviors and a coordinated continuum of care.

We continue to promote participation in the Service Leadership Seminar (SLS) — a five-day program that teaches incoming students about leadership, service and community. The intent of the program is first to help freshmen students transition into Florida State and get them immediately connected with
Tallahassee and the Florida State community. Throughout the week students also learn about different service-based agencies in the Tallahassee community. Students visit agencies, meet with staff and participate in a community service project.

**INCREASE LEVELS OF COMMUNITY AND BUSINESS ENGAGEMENT**

FSU has accepted a private gift of property in one of downtown Tallahassee’s prime locations to house the new entrepreneurial school. FSU continues to partner with Domi Station to help FSU entrepreneurs with an idea or early stage product get the tools and guidance needed to get off the ground, interact with the community and engage with successful business leaders. FSU is diligently working to align college degrees with the state’s workforce needs. Departments regularly survey students and their employers to ensure our graduates are competitive and have the skills required to meet their employment needs.

The commitment to become the most veteran-friendly and empowering university in the nation continues. We have designed a new veteran’s center and launched the Unconquered Veterans Campaign to honor our military veterans. Providing access to education to this important segment of our population will help get this much needed age group back into the Florida workforce.

**INCREASE COMMUNITY AND BUSINESS WORKFORCE**

FSU continues to participate in economic development councils at a high level. FSU’s Chief of Staff is a member of the Tallahassee Chamber of Commerce. The VP for Research is a member of the board and chair elect of the Economic Development Council (EDC) and is actively involved in promoting economic opportunities generated through partnerships with the university.

Florida State is actively incubating companies based on university-wide and college-based efforts. At the university level, companies are incubated based on grant funding and enabling the leasing of space in Tallahassee. In the College of Business, the InNOLEvation Accelerator – is a focal point for student business start-up activity, providing student entrepreneurs with resources needed during start-up. A dedicated facility with private office space supports as many as eight early stage ventures and offers common areas for students to take time out to discuss their ideas in a relaxed environment. Tallahassee is currently host to a variety of efforts to provide incubator space and expertise to developing companies. FSU is contributing to these efforts through provision of space, expertise, resources, and perhaps most important, the new ideas and technology that form the basis for a number of the start-ups populating these efforts. The university is also exploring additional partnerships, including with the city and county, to enable new companies to find their start in Tallahassee.

The investments in the Career Center continue to pay dividends. The Center saw an increase of 17.5% in the number of students advised, hosted 707 employers who scheduled 3,544 interviews, provided students and alumni 8,611 job listings via SeminoleLink, taught 12 sections of the Career Planning Course, coordinated 18 career fairs, presented 658 workshops on employer ability skills and graduate preparation and managed the career portfolio, providing 91,87 students and alumni users with opportunities to identify and document skills employers and graduate schools seek in candidates.

The top five employment industries for FSU graduates include retail and wholesale trade, education, hospitality and marketing. Technology and computers was the only area with higher salaries.

With 35 graduates who began teaching this fall, Florida State is ranked No. 10 among large schools on a list of how many alumni are participating in the Teach for America program. This is the third year Florida State has been listed as a top feeder school for Teach for America.
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### Section 1 – Financial Resources

**Table 1A. University Education and General Revenues (Not Adjusted for Inflation)**

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<thead>
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<td>Recurring State Funds</td>
<td>$247,765,002</td>
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<td>Non-Recurring State Funds</td>
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<td>Tuition</td>
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<td>Misc. Fees &amp; Fines</td>
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<td><strong>SUBTOTAL</strong></td>
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<td><strong>$526,087,613</strong></td>
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**Health Science Center / Medical School**

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<td><strong>SUBTOTAL</strong></td>
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**Total**

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<td>Recurring State Funds</td>
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<td>$424,832,558</td>
<td>$539,756,283</td>
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<td><strong>SUBTOTAL</strong></td>
<td><strong>$472,818,644</strong></td>
<td><strong>$424,832,558</strong></td>
<td><strong>$539,756,283</strong></td>
<td><strong>$571,191,013</strong></td>
<td><strong>$586,884,357</strong></td>
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*Recurring State Funds: include general revenue and lottery education & general (E&G) appropriations and any administered funds provided by the state, including annual adjustments of risk management insurance premiums for the estimated year. This does not include technical adjustments or transfers made by universities after the appropriation. Please note: 2013-14 revenues include the non-recurring $300 M system budget reduction. Sources: SUS Final Amendment Packages were used for actual years; and, the Allocation Summary and Workpapers were used for the estimated year.*

*Non-Recurring State Funds: include general revenue and lottery education & general appropriations and any administered funds provided by the state. This does not include technical adjustments or transfers made by Universities after the appropriation. Source: non-recurring appropriations section of the annual Allocation Summary and Workpapers that include all other non-recurring budget amendments allocated later in the fiscal year.*

*Note on Performance Funding: the State investment piece of performance funding is reported in the 'Non-Recurring State Funds' and the Institutional investment piece is reported within 'Recurring State Funds'. Tuition: Actual resident & non-resident tuition revenues collected from students, net of fee waivers. Source: Operating Budget, Report 625 – Schedule I-A. Tuition Differential Fee: Actual tuition differential revenues collected from undergraduate students. Source: Operating Budget, Report 625 – Schedule I-A. Miscellaneous Fees & Fines: Other revenue collections include items such as application fees, late registration fees, library fines, miscellaneous revenues. This is the total revenue from Report 625 minus tuition and tuition differential fee revenues. This does not include local fees. Source: Operating Budget, Report 625 – Schedule I-A. This data is not adjusted for inflation.*
Section 1 – Financial Resources (continued)

TABLE 1B. University Education and General Expenditures (Not Adjusted for Inflation)

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<td>Administration and Support</td>
<td>$36,745,132</td>
<td>$31,354,315</td>
<td>$35,282,352</td>
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<td>PO&amp;M</td>
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<td>Other</td>
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<td>TOTAL</td>
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HEALTH SCIENCE CENTER / MEDICAL SCHOOL

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<td>Instruction/Research</td>
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<td>Library/Audio Visual</td>
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<td>Teaching Hospital &amp; Clinics</td>
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<td>Student Services, and Other</td>
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TOTAL

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<td>$452,136,882</td>
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<td>$499,369,843</td>
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The table reports the actual and estimated amount of expenditures from revenues appropriated by the legislature for each fiscal year. The expenditures are classified by Program Component (e.g., Instruction/Research, PO&M, Administration, etc.) for activities directly related to instruction, research and public service. The table does not include expenditures classified as non-operating expenditures (e.g., service asset-related debts), and therefore excludes a small portion of the amount appropriated each year by the legislature. Note: FY 2012-2013 reflects a change in reporting expenditures from prior years due to the new carry-forward reporting requirement as reflected in the 2013-2014 SUS Operating Budget Reports. Since these expenditures will now include carry-forward expenditures, these data are no longer comparable to the current-year revenues reported in Table 1A, or prior year expenditures in Table 1B. This data is not adjusted for inflation.

Instruction & Research: Includes expenditures for state services related to the instructional delivery system for advanced and professional education. Includes functions such as; all activities related to credit instruction that may be applied toward a postsecondary degree or certificate; non-project research and service performed to maintain professional effectiveness; individual or project research; academic computing support; academic source or curriculum development. Source: Operating Budget Summary - Expenditures by Program Activity (or Report 1645).

Administration & Support Services: Expenditures related to the executive direction and leadership for university operations and those internal management services which assist and support the delivery of academic programs. Source: Operating Budget Summary - Expenditures by Program Activity (or Report 645).

PO&M: Plant Operations & Maintenance expenditures related to the cleaning and maintenance of existing grounds, the providing of utility services, and the planning and design of future plant expansion and modification. Source: Operating Budget Summary - Expenditures by Program Activity (or Report 845).

Student Services: Includes resources related to physical, psychological, and social well-being of the student. Includes student service administration, social and cultural development, counseling and career guidance, financial aid, and student admissions and records. Source: Operating Budget Summary - Expenditures by Program Activity (or Report 845).
### Section 1 – Financial Resources (continued)

#### TABLE 1C. Funding per Full-Time Equivalent (FTE) Student (Not Adjusted for Inflation)

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<td>State Appropriation (GR &amp; Lottery)</td>
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<td>Tuition &amp; Fees (State-funded Aid)</td>
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<tr>
<td>Tuition &amp; Fees (from Student)</td>
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<td>Other Trust Funds</td>
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<td>TOTAL</td>
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<td>$10,289</td>
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**Notes:**
- *State Appropriations* includes General Revenues and Lottery funds that are directly appropriated to the university as reported in Final Amendment Package. This does not include appropriations for special units (e.g., IFAS, Health Science Centers, and Medical Schools).
- *Tuition and Fee* revenues include tuition and tuition differential fee and E&G fees (e.g., application, late registration, and library fees/fines) as reported on the from the Operating Budget 526 reports. Other local fees that do not support E&G activities are not included here (see Board of Governors Regulation 7.003). To more accurately report the full contribution from the State, this table reports the state-funded financial aid separately from the tuition and fee payments universities receive from students (which may include federal financial aid dollars). The state-funded gift aid includes grants and scholarships as reported by universities to Board during the academic year in the State University Database System (SUDS).
- *Other Trust Funds* (e.g., Federal Stimulus for 2008-10 and 2010-11 only) as reported in Final Amendment Package.
- *Full-time Equivalent enrollment* is based on actual FTE, not funded FTE; and, does not include Health-Science Center funds or FTE. This data is based on the standard iPECS definition of FTE, equal to 30 credit hours for undergraduates and 24 for graduates. This data is not adjusted for inflation.

#### TABLE 1D. Cost per Degree (Full Expenditures per Bachelor’s Degree - Not Adjusted for Inflation)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL</td>
<td>$25,580</td>
<td>$24,900</td>
<td>$25,580</td>
<td>$26,700</td>
<td>$27,820</td>
</tr>
</tbody>
</table>

**Notes:**
- Full expenditures include direct instructional, research and public service expenditures and the undergraduate portion of indirect expenditures (e.g., academic administration, academic advising, student services, libraries, university support, and Plant Operations and Maintenance). For each year, the full expenditures were divided by undergraduate fundable student credit hours to calculate the full expenditures per credit hour, and then multiplied by 30 credit hours to represent the annual undergraduate expenditures. The annual undergraduate expenditures for each of the four years was summed to provide an average undergraduate expenditures per (120 credit) degree. **Source:** State University Database System (SUDS), Expenditure Analysis: Report IV. This data is not adjusted for inflation.
Section 1 – Financial Resources (continued)

**TABLE 1E. University Other Budget Entities (Not Adjusted for Inflation)**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Auxiliary Enterprises</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$199,558,734</td>
<td>$206,079,051</td>
<td>$235,018,302</td>
<td>$233,140,595</td>
<td>$254,030,999</td>
</tr>
<tr>
<td>Expenditures</td>
<td>$180,919,052</td>
<td>$186,555,714</td>
<td>$200,517,708</td>
<td>$223,843,585</td>
<td>$229,449,828</td>
</tr>
<tr>
<td><strong>Contracts &amp; Grants</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$212,546,825</td>
<td>$206,789,335</td>
<td>$221,442,160</td>
<td>$220,266,986</td>
<td>$219,075,763</td>
</tr>
<tr>
<td>Expenditures</td>
<td>$195,015,896</td>
<td>$188,083,314</td>
<td>$203,704,258</td>
<td>$218,965,033</td>
<td>$208,289,152</td>
</tr>
<tr>
<td><strong>Local Funds</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$220,810,551</td>
<td>$229,060,800</td>
<td>$208,229,360</td>
<td>$219,368,902</td>
<td>$218,273,734</td>
</tr>
<tr>
<td>Expenditures</td>
<td>$215,254,938</td>
<td>$208,904,315</td>
<td>$212,306,365</td>
<td>$222,065,185</td>
<td>$217,818,213</td>
</tr>
<tr>
<td><strong>Faculty Practice Plans</strong></td>
<td>$6,303,145</td>
<td>$6,680,295</td>
<td>$9,137,413</td>
<td>$9,794,451</td>
<td>$8,755,338</td>
</tr>
<tr>
<td>Expenditures</td>
<td>$6,296,128</td>
<td>$6,686,903</td>
<td>$9,115,388</td>
<td>$9,705,201</td>
<td>$8,755,569</td>
</tr>
</tbody>
</table>

Notes: Revenues do not include transfers. Expenditures do not include non-operating expenditures. Auxiliary Enterprises are self-supported through fees, payments and charges. Examples include housing, food services, bookstores, parking services, health centers. **Contracts & Grants** resources are received from federal, state or private sources for the purposes of conducting research and public service activities. Local Funds are associated with student activity (supported by the student activity fee), student financial aid, concessions, intercollegiate athletics, technology fee, green fee, and student life & services fee. **Faculty Practice Plan** revenues/receipts are funds generated from faculty practice plan activities. Faculty Practice Plan expenditures include all expenditures relating to the faculty practice plans, including transfers between other funds and/or entities. This may result in double counting in information presented within the annual report. Source: Operating Budget, Report 615. This data is not adjusted for inflation.

**TABLE 1F. Voluntary Support of Higher Education (Not Adjusted for Inflation)**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Endowment Value</td>
<td>$525,260</td>
<td>$497,708</td>
<td>$548,095</td>
<td>$624,557</td>
<td>$605,275</td>
</tr>
<tr>
<td>($1000s)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gifts Received</td>
<td>$50,820</td>
<td>$55,929</td>
<td>$61,270</td>
<td>$55,725</td>
<td>$68,634</td>
</tr>
<tr>
<td>($1000s)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percentage of</td>
<td>15%</td>
<td>16%</td>
<td>18%</td>
<td>17%</td>
<td>17%</td>
</tr>
<tr>
<td>Alumni Donors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes: **Endowment Value** at the end of the fiscal year, as reported in the annual NACUBO Endowment Study. **Gifts Received** as reported in the Council for Aid to Education’s Voluntary Support of Education (VSE) Survey in the section entitled “Gift Income Summary,” this is the sum of the present value of all gifts (including outright and deferred gifts) received for any purpose and from all sources during the fiscal year, excluding pledges and bequests. (There’s a deferred gift calculator at www.cae.org/vse) The present value of non-cash gifts is defined as the tax deduction to the donor as allowed by the IRS. **Percentage of Alumni Donors** as reported in the Council for Aid to Education’s Voluntary Support of Education (VSE) survey in the section entitled “Additional Details,” this is the number of alumni donors divided by the total number of alumni, as of the end of the fiscal year. “Alumni,” as defined in this survey, include those holding a degree from the institution as well as those who attended the institution but did not earn a degree. This data is not adjusted for inflation.
Section 2 – Personnel

**TABLE 2A. Personnel Headcount (in Fall term only)**

<table>
<thead>
<tr>
<th></th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Full-time Employees</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenured Faculty</td>
<td>778</td>
<td>769</td>
<td>783</td>
<td>770</td>
<td>770</td>
</tr>
<tr>
<td>Tenure-track Faculty</td>
<td>256</td>
<td>214</td>
<td>238</td>
<td>256</td>
<td>286</td>
</tr>
<tr>
<td>Non-Tenure Track Faculty</td>
<td>606</td>
<td>667</td>
<td>695</td>
<td>726</td>
<td>755</td>
</tr>
<tr>
<td>Instructors Without Faculty Status</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Graduate Assistants/Associates</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Non-Instructional Employees</td>
<td>4,171</td>
<td>4,163</td>
<td>4,234</td>
<td>4,366</td>
<td>4,347</td>
</tr>
<tr>
<td><strong>FULL-TIME SUBTOTAL</strong></td>
<td>5,811</td>
<td>5,813</td>
<td>5,950</td>
<td>6,118</td>
<td>6,158</td>
</tr>
<tr>
<td><strong>Part-time Employees</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tenured Faculty</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>10</td>
<td>8</td>
</tr>
<tr>
<td>Tenure-track Faculty</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Non-Tenure Track Faculty</td>
<td>433</td>
<td>445</td>
<td>487</td>
<td>505</td>
<td>461</td>
</tr>
<tr>
<td>Instructors Without Faculty Status</td>
<td>198</td>
<td>199</td>
<td>175</td>
<td>169</td>
<td>153</td>
</tr>
<tr>
<td>Graduate Assistants/Associates</td>
<td>2,997</td>
<td>3,033</td>
<td>2,982</td>
<td>2,994</td>
<td>3,011</td>
</tr>
<tr>
<td>Non-Instructional Employees</td>
<td>89</td>
<td>84</td>
<td>107</td>
<td>84</td>
<td>85</td>
</tr>
<tr>
<td><strong>PART-TIME SUBTOTAL</strong></td>
<td>3,723</td>
<td>3,767</td>
<td>3,757</td>
<td>3,765</td>
<td>3,722</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>9,534</td>
<td>9,580</td>
<td>9,707</td>
<td>9,883</td>
<td>9,880</td>
</tr>
</tbody>
</table>

Note: This table is based on the annual IPEDS Human Resources Survey, and provides full- and part-time medical and non-medical staff by faculty status and primary function/occupational activity. Tenured and Tenure-Track Faculty include those categorized within instruction, research, or public service. Non-Tenure Track Faculty includes adjunct faculty (on annual and less than annual contracts) and faculty on multi-year contracts categorized within instruction, research, or public service. Instructors Without Faculty Status includes postdoctoral research associates, and individuals hired as a staff member primarily to do research on a 3-year contract without tenure eligibility categorized within instruction, research, or public service. Non-Instructional Employees includes all executive, administrative and managerial positions regardless of faculty status, as well as, other support and service positions regardless of faculty status. Note: The universities vary on how they classify adjuncts (some include them as non-tenure track faculty while others do not consider them faculty and report them as instructors without faculty status) and part-time non-instructional employees.
### Section 3 – Enrollment

#### TABLE 3A. Headcount Enrollment by Student Type and Level

<table>
<thead>
<tr>
<th></th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
<th>Fall 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TOTAL</strong></td>
<td>40,764</td>
<td>41,557</td>
<td>41,226</td>
<td>41,311</td>
<td>41,737</td>
</tr>
<tr>
<td><strong>UNDERGRADUATE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FTIC (Regular Admit)</td>
<td>22,481</td>
<td>22,692</td>
<td>22,795</td>
<td>23,070</td>
<td>23,396</td>
</tr>
<tr>
<td>FTIC (Profile Admit)</td>
<td>91</td>
<td>90</td>
<td>84</td>
<td>71</td>
<td>75</td>
</tr>
<tr>
<td>AA Transfers</td>
<td>6,185</td>
<td>6,397</td>
<td>6,180</td>
<td>6,146</td>
<td>6,108</td>
</tr>
<tr>
<td>Other Transfers</td>
<td>2,189</td>
<td>2,571</td>
<td>2,857</td>
<td>2,720</td>
<td>2,729</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>30,946</td>
<td>31,750</td>
<td>31,896</td>
<td>32,007</td>
<td>32,308</td>
</tr>
<tr>
<td><strong>GRADUATE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Master’s</td>
<td>4,539</td>
<td>4,523</td>
<td>4,310</td>
<td>4,155</td>
<td>4,117</td>
</tr>
<tr>
<td>Research Doctoral</td>
<td>2,657</td>
<td>2,658</td>
<td>2,594</td>
<td>2,826</td>
<td>2,660</td>
</tr>
<tr>
<td>Professional Doctoral</td>
<td>1,300</td>
<td>1,269</td>
<td>1,235</td>
<td>1,254</td>
<td>1,190</td>
</tr>
<tr>
<td>Dentistry</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Law</td>
<td>772</td>
<td>724</td>
<td>692</td>
<td>709</td>
<td>645</td>
</tr>
<tr>
<td>Medicine</td>
<td>475</td>
<td>476</td>
<td>476</td>
<td>481</td>
<td>482</td>
</tr>
<tr>
<td>Nursing Practice</td>
<td>53</td>
<td>69</td>
<td>67</td>
<td>64</td>
<td>63</td>
</tr>
<tr>
<td>Pharmacy</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Physical Therapist</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>8,496</td>
<td>8,450</td>
<td>8,139</td>
<td>8,035</td>
<td>7,967</td>
</tr>
<tr>
<td><strong>UNCLASSIFIED</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HS Dual Enrolled</td>
<td>43</td>
<td>20</td>
<td>39</td>
<td>23</td>
<td>53</td>
</tr>
<tr>
<td>Other</td>
<td>1,279</td>
<td>1,337</td>
<td>1,152</td>
<td>1,246</td>
<td>1,409</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>1,322</td>
<td>1,357</td>
<td>1,191</td>
<td>1,269</td>
<td>1,462</td>
</tr>
</tbody>
</table>

Note: This table reports the number of students enrolled at the university by student type categories. The determination for undergraduate, graduate and unclassified is based on the institutional class level values. Unclassified refers to a student who has not yet been formally admitted into a degree program but is enrolled. The student type for undergraduates is based on the Type of Student at Time of Most Recent Admission. The student type for graduates is based on the degree that is sought and the student CIP code.

Note*: In Fall 2014, students classified by the university as post-baccalaureate are counted as “other” unclassified for the purposes of this table. This differs from the methodology used to produce data for the online interactive enrollment tool (on the Board’s website) which includes post-baccas as undergraduates regardless of degree sought. Board staff will review this definition with university staff during the Summer Data Workshop and may revise it for next year’s report.
### Section 3 – Enrollment (continued)

**TABLE 3B. Full-Time Equivalent (FTE) Enrollment [State Fundable only]**

<table>
<thead>
<tr>
<th></th>
<th>2012-13</th>
<th></th>
<th>2013-14</th>
<th></th>
<th>2014-15</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>State-</td>
<td>Actual</td>
<td>State-</td>
<td>Actual</td>
<td>State-</td>
<td>Actual</td>
</tr>
<tr>
<td></td>
<td>Funded</td>
<td></td>
<td>Funded</td>
<td></td>
<td>Funded</td>
<td></td>
</tr>
<tr>
<td><strong>FLORIDA RESIDENTS</strong></td>
<td>9,327</td>
<td>9,908</td>
<td>9,476</td>
<td></td>
<td>9,376</td>
<td></td>
</tr>
<tr>
<td>Lower-Division</td>
<td>10,713</td>
<td>11,658</td>
<td>11,541</td>
<td></td>
<td>11,634</td>
<td></td>
</tr>
<tr>
<td>Upper-Division</td>
<td>2,233</td>
<td>2,131</td>
<td>1,949</td>
<td></td>
<td>1,964</td>
<td></td>
</tr>
<tr>
<td>Master's (GRAD I)</td>
<td>1,941</td>
<td>1,933</td>
<td>1,974</td>
<td></td>
<td>1,939</td>
<td></td>
</tr>
<tr>
<td>Doctoral (GRAD II)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subtotal</td>
<td>24,214</td>
<td>25,630</td>
<td>25,040</td>
<td></td>
<td>24,913</td>
<td></td>
</tr>
<tr>
<td><strong>NON-FLORIDA RESIDENTS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lower-Division</td>
<td></td>
<td>509</td>
<td></td>
<td>575</td>
<td></td>
<td>768</td>
</tr>
<tr>
<td>Upper-Division</td>
<td></td>
<td>492</td>
<td></td>
<td>622</td>
<td></td>
<td>593</td>
</tr>
<tr>
<td>Master's (GRAD I)</td>
<td></td>
<td>518</td>
<td></td>
<td>559</td>
<td></td>
<td>556</td>
</tr>
<tr>
<td>Doctoral (GRAD II)</td>
<td></td>
<td>729</td>
<td></td>
<td>731</td>
<td></td>
<td>742</td>
</tr>
<tr>
<td>Subtotal</td>
<td>2,483</td>
<td>2,249</td>
<td>2,487</td>
<td></td>
<td>2,659</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL FTE</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lower-Division</td>
<td></td>
<td>10,417</td>
<td>9,948</td>
<td>10,050</td>
<td>9,948</td>
<td>10,144</td>
</tr>
<tr>
<td>Upper-Division</td>
<td></td>
<td>12,150</td>
<td>11,357</td>
<td>12,263</td>
<td>11,357</td>
<td>12,227</td>
</tr>
<tr>
<td>Master's (GRAD I)</td>
<td></td>
<td>2,649</td>
<td>2,726</td>
<td>2,507</td>
<td>2,946</td>
<td>2,520</td>
</tr>
<tr>
<td>Doctoral (GRAD II)</td>
<td></td>
<td>2,662</td>
<td>2,573</td>
<td>2,706</td>
<td>2,446</td>
<td>2,681</td>
</tr>
<tr>
<td>Total</td>
<td>26,697</td>
<td>27,879</td>
<td>26,604</td>
<td>27,526</td>
<td>26,697</td>
<td>27,572</td>
</tr>
<tr>
<td>Total (US Definition)</td>
<td>35,596</td>
<td>37,172</td>
<td>35,472</td>
<td>36,702</td>
<td>35,596</td>
<td>36,763</td>
</tr>
</tbody>
</table>

Notes: Full-time Equivalent (FTE) student is a measure of instructional effort (and student activity) that is based on the number of credit hours that students enroll by course level. FTE is based on the Florida definition, which divides undergraduate credit hours by 40 and graduate credit hours by 32 (US definition based on Undergraduate FTE = 30 and Graduate FTE = 24 credit hours). In 2013-14, the Florida Legislature chose to no longer separate funded non-resident FTE from funded resident FTE. Funded enrollment as reported in the General Appropriations Act and Board of Governors’ Allocation Summary. Actual enrollment only reports “state-fundable” FTE as reported by Universities to the Board of Governors in the Student Instruction File (SIF). Totals are actual and may not equal sum of reported student levels due to rounding of student level FTE. Total FTE are equal in tables 3B and 3C.
Section 3 – Enrollment (continued)

**TABLE 3C. Full-Time Equivalent (FTE) Enrollment by Method of Instruction**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TRADITIONAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lower-Division</td>
<td>10,033</td>
<td>10,161</td>
<td>9,584</td>
<td>9,228</td>
<td>9,255</td>
</tr>
<tr>
<td>Upper-Division</td>
<td>11,675</td>
<td>11,627</td>
<td>11,368</td>
<td>11,100</td>
<td>10,815</td>
</tr>
<tr>
<td>Master’s (GRAD 1)</td>
<td>2,300</td>
<td>2,373</td>
<td>2,183</td>
<td>2,043</td>
<td>2,079</td>
</tr>
<tr>
<td>Doctoral (GRAD 2)</td>
<td>2,630</td>
<td>2,694</td>
<td>2,620</td>
<td>2,650</td>
<td>2,622</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>26,638</td>
<td>26,845</td>
<td>25,755</td>
<td>25,021</td>
<td>24,771</td>
</tr>
<tr>
<td><strong>HYBRID</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lower-Division</td>
<td>73</td>
<td>131</td>
<td>215</td>
<td>158</td>
<td>46</td>
</tr>
<tr>
<td>Upper-Division</td>
<td>49</td>
<td>51</td>
<td>94</td>
<td>53</td>
<td>10</td>
</tr>
<tr>
<td>Master’s (GRAD 1)</td>
<td>166</td>
<td>110</td>
<td>145</td>
<td>112</td>
<td>48</td>
</tr>
<tr>
<td>Doctoral (GRAD 2)</td>
<td>6</td>
<td>4</td>
<td>8</td>
<td>6</td>
<td>2</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>294</td>
<td>295</td>
<td>461</td>
<td>329</td>
<td>105</td>
</tr>
<tr>
<td><strong>DISTANCE LEARNING</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lower-Division</td>
<td>222</td>
<td>409</td>
<td>618</td>
<td>664</td>
<td>843</td>
</tr>
<tr>
<td>Upper-Division</td>
<td>419</td>
<td>434</td>
<td>689</td>
<td>1,110</td>
<td>1,403</td>
</tr>
<tr>
<td>Master’s (GRAD 1)</td>
<td>345</td>
<td>293</td>
<td>322</td>
<td>352</td>
<td>394</td>
</tr>
<tr>
<td>Doctoral (GRAD 2)</td>
<td>37</td>
<td>35</td>
<td>35</td>
<td>50</td>
<td>57</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>1,023</td>
<td>1,171</td>
<td>1,664</td>
<td>2,176</td>
<td>2,696</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lower-Division</td>
<td>10,329</td>
<td>10,700</td>
<td>10,417</td>
<td>10,050</td>
<td>10,144</td>
</tr>
<tr>
<td>Upper-Division</td>
<td>12,143</td>
<td>12,111</td>
<td>12,150</td>
<td>12,263</td>
<td>12,227</td>
</tr>
<tr>
<td>Master’s (GRAD 1)</td>
<td>2,810</td>
<td>2,777</td>
<td>2,649</td>
<td>2,507</td>
<td>2,520</td>
</tr>
<tr>
<td>Doctoral (GRAD 2)</td>
<td>2,673</td>
<td>2,723</td>
<td>2,662</td>
<td>2,706</td>
<td>2,681</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>27,954</td>
<td>28,311</td>
<td>27,879</td>
<td>27,526</td>
<td>27,572</td>
</tr>
</tbody>
</table>

Note: Full-time Equivalent (FTE) student is a measure of instructional effort (and student activity) that is based on the number of credit hours that students enroll by course level. FTE is based on the Florida definition, which divides undergraduate credit hours by 40 and graduate credit hours by 32. Distance Learning is a course in which at least 50 percent of the direct instruction of the course is delivered using some form of technology when the student and instructor are separated by time or space, or both (per 10FAC.24(17), F.S.). Hybrid is a course where 50% to 79% of the instruction is delivered using some form of technology, when the student and instructor are separated by time or space, or both (per SUDS data element 2052). Traditional (and Technology Enhanced) refers to primarily face to face instruction utilizing some form of technology for delivery of supplemental course materials for no more than 49% of instruction (per SUDS data element 2052). Totals are actual and may not equal sum of reported student levels due to rounding of student level FTE. Total FTE are equal in tables 3B and 3C.
Section 3 – Enrollment (continued)

### TABLE 3D. Headcount Enrollment by Military Status and Student Level

<table>
<thead>
<tr>
<th></th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013*</th>
<th>Fall 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>MILITARY</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unclassified</td>
<td>23</td>
<td>31</td>
<td>25</td>
<td>16</td>
<td>19</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>594</td>
<td>681</td>
<td>678</td>
<td>204</td>
<td>261</td>
</tr>
<tr>
<td>Master’s (GRAD 1)</td>
<td>121</td>
<td>151</td>
<td>163</td>
<td>99</td>
<td>116</td>
</tr>
<tr>
<td>Doctoral (GRAD 2)</td>
<td>27</td>
<td>27</td>
<td>28</td>
<td>10</td>
<td>27</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>765</td>
<td>890</td>
<td>894</td>
<td>329</td>
<td>423</td>
</tr>
<tr>
<td><strong>DEPENDENTS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unclassified</td>
<td></td>
<td></td>
<td></td>
<td>14</td>
<td>11</td>
</tr>
<tr>
<td>Undergraduate</td>
<td></td>
<td></td>
<td></td>
<td>520</td>
<td>528</td>
</tr>
<tr>
<td>Master’s (GRAD 1)</td>
<td></td>
<td></td>
<td></td>
<td>68</td>
<td>68</td>
</tr>
<tr>
<td>Doctoral (GRAD 2)</td>
<td></td>
<td></td>
<td></td>
<td>11</td>
<td>13</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td></td>
<td></td>
<td></td>
<td>613</td>
<td>620</td>
</tr>
<tr>
<td><strong>NON-MILITARY</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unclassified</td>
<td>1,299</td>
<td>1,326</td>
<td>1,166</td>
<td>1,101</td>
<td>1,157</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>30,352</td>
<td>31,069</td>
<td>31,218</td>
<td>31,421</td>
<td>31,794</td>
</tr>
<tr>
<td>Master’s (GRAD 1)</td>
<td>5,896</td>
<td>5,853</td>
<td>5,589</td>
<td>5,536</td>
<td>4,957</td>
</tr>
<tr>
<td>Doctoral (GRAD 2)</td>
<td>2,452</td>
<td>2,419</td>
<td>2,359</td>
<td>2,311</td>
<td>2,786</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>39,999</td>
<td>40,667</td>
<td>40,332</td>
<td>40,369</td>
<td>40,694</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>40,764</td>
<td>41,557</td>
<td>41,226</td>
<td>41,311</td>
<td>41,737</td>
</tr>
</tbody>
</table>

Note: This table provides trend data on the number of students enrolled based on their military status. **Military** includes students who were classified as Active Duty, Veterans, National Guard, or Reservist. **Dependants** includes students who were classified as eligible dependents (dependents who received veteran's benefits). **Non-Military** includes all other students. Note*: Prior to Fall 2013, FSU classified any student with a military affiliation as a "Veteran."

### TABLE 3E. University Access Rate (Undergraduate Enrollment with Pell Grant)

<table>
<thead>
<tr>
<th></th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
<th>Fall 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pell Grant Recipients</td>
<td>9,094</td>
<td>9,441</td>
<td>9,674</td>
<td>9,525</td>
<td>9,133</td>
</tr>
<tr>
<td>Percent with Pell Grant</td>
<td>29.66%</td>
<td>30.03%</td>
<td>30.65%</td>
<td>29.99%</td>
<td>28.39%</td>
</tr>
</tbody>
</table>

Note: This table reports the University's Access Rate, which is a measure of the percentage of undergraduate students who have received a federal Pell grant award during a given Fall term. The top row reports the number of students who received a Pell Grant award. The bottom row provides the percentage of eligible students that received a Pell Grant award. This metric is included in the Board of Governors Performance Based Funding Model - for more information see: [http://www.fboe.edu/about/budget/performance_funding.php](http://www.fboe.edu/about/budget/performance_funding.php).
### Section 4 – Undergraduate Education

#### TABLE 4A. Baccalaureate Degree Program Changes in AY 2014-15

<table>
<thead>
<tr>
<th>Title of Program</th>
<th>Six-digit CIP Code</th>
<th>Degree Level</th>
<th>Date of UBOT Action</th>
<th>Starting or Ending Term</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New Programs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>None</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Terminated Programs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Programs Suspended for New Enrollments</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>American/United States Studies/Civilization</td>
<td>5.0102</td>
<td>Bachelors</td>
<td>SUMMER 2011</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Art Teacher Education</td>
<td>13.1302</td>
<td>Bachelors</td>
<td>FALL 2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foreign Language Teacher Education</td>
<td>13.1306</td>
<td>Bachelors</td>
<td>FALL 2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td>French Studies</td>
<td>5.0124</td>
<td>Bachelors</td>
<td>SPRING 2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mathematics Teacher Education</td>
<td>13.1311</td>
<td>Bachelors</td>
<td>FALL 2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Science Teacher Education</td>
<td>13.1316</td>
<td>Bachelors</td>
<td>FALL 2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>New Programs Considered By University But Not Approved</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>None</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: This table does not include new majors or concentrations added under an existing degree program CIP Code. This table reports the new and terminated program changes based on Board action dates between May 5, 2014 and May 4, 2015.

**New Programs** are proposed new degree programs that have been completely through the approval process at the university and, if appropriate, the Board of Governors. Does not include new majors or concentrations added under an existing degree program CIP Code.

**Terminated Programs** are degree programs for which the entire CIP Code has been terminated and removed from the university’s inventory of degree programs. Does not include majors or concentrations terminated under an existing degree program CIP Code if the code is to remain active on the academic degree inventory.

**Programs Suspended for New Enrollments** are degree programs for which enrollments have been temporarily suspended for the entire CIP Code, but the program CIP Code has not been terminated. Does not include majors or concentrations suspended under an existing degree program CIP Code if the code is to remain active on the academic degree inventory and new enrollments in any active major will be reported. Programs included in this list may have been suspended for new enrollments sometime in the past and have continued to be suspended at least one term of this academic year.

**New Programs Considered by University But Not Approved** includes any programs considered by the university board of trustees, or any committee of the board, but not approved for implementation. Also include any programs that were returned prior to board consideration by the university administration for additional development, significant revisions, or re-conceptualization; regardless of whether the proposal was eventually taken to the university board for approval. Count the returns once per program, not multiple times the proposal was returned for revisions, unless there is a total re-conceptualization that brings forward a substantially different program in a different CIP Code.
Section 4 – Undergraduate Education (continued)

TABLE 4B. Full-time, First-Time-in-College (FTIC) Retention Rates
Retained in the Second Fall Term at Same University

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Size</td>
<td>5,964</td>
<td>6,149</td>
<td>5,749</td>
<td>6,086</td>
<td>6,086</td>
</tr>
<tr>
<td>% Retained with Any GPA</td>
<td>92%</td>
<td>91%</td>
<td>91%</td>
<td>92%</td>
<td>93%</td>
</tr>
<tr>
<td>% Retained with GPA 2.0 or higher</td>
<td>90.16%</td>
<td>88.78%</td>
<td>89.41%</td>
<td>90.70%</td>
<td>91.76%</td>
</tr>
</tbody>
</table>

Notes: Cohorts are based on undergraduate students who enter the institution in the Fall term (or Summer term and continue into the Fall term). Percent Retained with Any GPA is based on student enrollment in the Fall term following their first year. Percent Retained with GPA Above 2.0 is based on student enrollment in the Fall term following their first year for those students with a GPA of 2.0 or higher at the end of their first year (Fall, Spring, Summer). The most recent year of Retention data is based on preliminary data (SIFP file) that is comparable to the final data (SIF file) but may be revised in the following years based on changes in student cohorts.

TABLE 4C. Full-time, First-Time-in-College (FTIC) Six-Year Graduation Rates

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Size</td>
<td>6,052</td>
<td>6,191</td>
<td>6,104</td>
<td>4,993</td>
<td>5,925</td>
</tr>
<tr>
<td>% Graduated</td>
<td>74%</td>
<td>75%</td>
<td>77%</td>
<td>79%</td>
<td>79%</td>
</tr>
<tr>
<td>% Still Enrolled</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
</tr>
<tr>
<td>% Success Rate</td>
<td>76%</td>
<td>77%</td>
<td>79%</td>
<td>81%</td>
<td>81%</td>
</tr>
</tbody>
</table>

Notes: Cohorts are based on FTIC undergraduate students who enter the institution in the Fall term (or Summer term and continue into the Fall term). Percent Graduated reports the percent of FTICs who graduated from the same institution within six years. This metric does not include students who enrolled as part-time students (in their first year), or who transfer into the institution. This metric complies with the requirements of the federal Student Right to Know Act that requires institutions to report the completion status at 150% of normal time (or six years). Success Rate measures the percentage of an initial cohort of students who have either graduated or are still enrolled at the same university. This data should match the IPEDS Graduation Rate Survey data that is due in late February.
**Section 4 – Undergraduate Education (continued)**

**TABLE 4D. Graduation Rates for First-Time-in-College (FTIC) Students**
*(includes Full- and Part-time students)*

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Size</td>
<td>6,162</td>
<td>5,023</td>
<td>5,936</td>
<td>5,977</td>
<td>6,175</td>
</tr>
<tr>
<td>Same University</td>
<td>56%</td>
<td>61%</td>
<td>62%</td>
<td>60%</td>
<td>62%</td>
</tr>
<tr>
<td>Other University in SUS</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
</tr>
<tr>
<td>Total from System</td>
<td>58%</td>
<td>63%</td>
<td>63%</td>
<td>62%</td>
<td>64%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Size</td>
<td>6,078</td>
<td>6,232</td>
<td>6,162</td>
<td>5,023</td>
<td>5,936</td>
</tr>
<tr>
<td>Same University</td>
<td>73.69%</td>
<td>74.89%</td>
<td>76.68%</td>
<td>79.02%</td>
<td>79.31%</td>
</tr>
<tr>
<td>Other University in SUS</td>
<td>6%</td>
<td>5%</td>
<td>5%</td>
<td>5%</td>
<td>4%</td>
</tr>
<tr>
<td>Total from System</td>
<td>80%</td>
<td>80%</td>
<td>82%</td>
<td>84%</td>
<td>83%</td>
</tr>
</tbody>
</table>

Notes: **Cohorts** are based on undergraduate students who enter the institution in the Fall term (or Summer term and continue into the Fall term). First-time-in-college (FTIC) cohort is defined as undergraduates entering in fall term (or summer continuing to fall) with fewer than 12 hours earned after high school graduation. The initial cohorts can be revised to remove students, who have allowable exclusions as defined by IPEDS, from the cohort. FTIC students who are enrolled in advanced graduate degree programs that do not award a Bachelor’s degree are removed from the cohorts. **Graduates** are students in the cohort who have graduated by the summer term in their fourth or sixth year. Degree data often includes “late degrees” which are degrees that were awarded in a previous term, but reported to SUDS later; so, the most recent year of data in this table only provides preliminary graduation rate data that may change with the addition of “late degrees”. Late degrees reported in conjunction with the IPEDS Graduation Rate Survey due in mid-February will be reflected in the following year. **Same University** provides graduation rates for students in the cohort who graduated from the same institution. **Other University in SUS** provides graduation rates for students in the cohort who graduated from a different State University System of Florida institution. These data do not report students in the cohort who did not graduate from the SUS, but did graduate from another institution outside the State University System of Florida.
Section 4 – Undergraduate Education (continued)

### TABLE 4E. Graduation Rates for AA Transfer Students from Florida College System

<table>
<thead>
<tr>
<th>Two – Year Rates</th>
<th>2009-11</th>
<th>2010-12</th>
<th>2011-13</th>
<th>2012-14</th>
<th>2013-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Size</td>
<td>1,956</td>
<td>1,894</td>
<td>1,892</td>
<td>1,739</td>
<td>1,787</td>
</tr>
<tr>
<td>Same University</td>
<td>44%</td>
<td>41%</td>
<td>39%</td>
<td>39%</td>
<td>40%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Size</td>
<td>1,480</td>
<td>1,542</td>
<td>1,056</td>
<td>1,804</td>
<td>1,882</td>
</tr>
<tr>
<td>Same University</td>
<td>78%</td>
<td>80%</td>
<td>79%</td>
<td>76%</td>
<td>74%</td>
</tr>
</tbody>
</table>

Notes: AA Transfer cohort is defined as undergraduates entering in the fall term (or summer continuing to fall) and having earned an AA degree from an institution in the Florida College System. For comparability with FTIC cohorts, AA Transfer cohorts are based on undergraduate students who enter the institution in the Fall term (or Summer term and continue into the Fall term) and graduate from the same institution within two or four years.

### TABLE 4F. Graduation Rates for Other Transfer Students

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cohort Size</td>
<td>744</td>
<td>756</td>
<td>330</td>
<td>687</td>
<td>657</td>
</tr>
<tr>
<td>Same University</td>
<td>79%</td>
<td>79%</td>
<td>78%</td>
<td>79%</td>
<td>80%</td>
</tr>
</tbody>
</table>

Notes: Other Transfer Students includes undergraduate students that transfer into a university who are not FTICs or AA Transfers. Cohorts are based on undergraduate students who enter the institution in the Fall term (or Summer term and continue into the Fall term) and graduate from the same institution within five years.
Section 4 – Undergraduate Education (continued)

TABLE 4G. Baccalaureate Degrees Awarded

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>First Majors</td>
<td>7,886</td>
<td>7,860</td>
<td>7,938</td>
<td>8,105</td>
<td>8,421</td>
</tr>
<tr>
<td>Second Majors</td>
<td>1,176</td>
<td>1,187</td>
<td>1,142</td>
<td>1,315</td>
<td>1,186</td>
</tr>
<tr>
<td>TOTAL</td>
<td>9,062</td>
<td>9,047</td>
<td>9,080</td>
<td>9,420</td>
<td>9,607</td>
</tr>
</tbody>
</table>

Note: This table reports the number of degrees awarded by academic year. First Majors include the most common scenario of one student earning one degree in one Classification of Instructional Programs (CIP) code. In those cases where a student earns a baccalaureate degree under two different degree CIPs, a distinction is made between "dual degrees" and "dual majors." Also included in first majors are "dual degrees" which are counted as separate degrees (e.g., counted twice). In these cases, both degree CIPs receive a "degree fraction" of 1.0. Second Majors include all dualsecond majors (e.g., degree CIP receive a degree fraction that is less than 1). The calculation of degree fractions is made according to each institution's criteria. The calculation for the number of second majors rounds each degree CIP's fraction of a degree up to 1 and then sums the total. Second Majors are typically used when providing degree information by discipline/CIP, to better conveys the number of graduates who have specific skill sets associated with each discipline.

TABLE 4H. Baccalaureate Degrees in Programs of Strategic Emphasis (PSE)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>STEM</td>
<td>1,217</td>
<td>1,303</td>
<td>1,473</td>
<td>1,574</td>
<td>1,784</td>
</tr>
<tr>
<td>HEALTH</td>
<td>354</td>
<td>305</td>
<td>320</td>
<td>260</td>
<td>309</td>
</tr>
<tr>
<td>GLOBALIZATION</td>
<td>586</td>
<td>587</td>
<td>576</td>
<td>558</td>
<td>533</td>
</tr>
<tr>
<td>EDUCATION</td>
<td>328</td>
<td>290</td>
<td>271</td>
<td>267</td>
<td>252</td>
</tr>
<tr>
<td>GAP ANALYSIS</td>
<td>974</td>
<td>832</td>
<td>840</td>
<td>875</td>
<td>875</td>
</tr>
<tr>
<td>SUBTOTAL</td>
<td>3,459</td>
<td>3,317</td>
<td>3,480</td>
<td>3,535</td>
<td>3,753</td>
</tr>
</tbody>
</table>

PSE PERCENT OF TOTAL | 38.17% | 36.66% | 38.33% | 37.53% | 39.07% |

Notes: This is a count of baccalaureate majors for specific Programs of Strategic Emphasis, as determined by the Board of Governors staff with consultation with business and industry groups and input from universities. This is a count of baccalaureate degrees awarded within specific Programs of Strategic Emphasis, as determined by the Board of Governors staff with consultation with business and industry groups and input from universities – for more information see: [http://www.flbog.edu/pressroom/strategic_emphasis/](http://www.flbog.edu/pressroom/strategic_emphasis/). The Board of Governors revised the list of Programs of Strategic Emphasis in November 2013, and the new categories were applied to the historical degrees. A student who has multiple majors in the subset of targeted Classification of Instruction Program codes will be counted twice (i.e., double-majors are included).
### TABLE 4I. Baccalaureate Degrees Awarded to Underrepresented Groups

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Non-Hispanic Black</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of Degrees</td>
<td>778</td>
<td>788</td>
<td>735</td>
<td>756</td>
<td>733</td>
</tr>
<tr>
<td>Percentage of Degrees</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>10%</td>
<td>9%</td>
</tr>
<tr>
<td><strong>Hispanic</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of Degrees</td>
<td>926</td>
<td>1,020</td>
<td>1,155</td>
<td>1,240</td>
<td>1,355</td>
</tr>
<tr>
<td>Percentage of Degrees</td>
<td>12%</td>
<td>13%</td>
<td>15%</td>
<td>16%</td>
<td>16%</td>
</tr>
<tr>
<td><strong>Pell-Grant Recipients</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of Degrees</td>
<td>2,664</td>
<td>2,922</td>
<td>3,168</td>
<td>3,317</td>
<td>3,382</td>
</tr>
<tr>
<td>Percentage of Degrees</td>
<td>34%</td>
<td>36%</td>
<td>40%</td>
<td>42%</td>
<td>41%</td>
</tr>
</tbody>
</table>

**Note:** *Non-Hispanic Black and Hispanic* do not include students classified as Non-Resident Alien or students with a missing race code. Students who earn two distinct degrees in the same term are counted twice—whether their degrees are from the same six-digit CIP code or different CIP codes. Students who earn only one degree are counted once—even if they completed multiple majors or tracks. Percentage of Degrees is based on the number of baccalaureate degrees awarded to non-Hispanic Black and Hispanic students divided by the total degrees awarded—excluding those awarded to non-resident aliens and unreported.

**Pell-Grant recipients** are defined as those students who have received a Pell grant from any SUS institution within six years of graduation—excluding those awarded to non-resident aliens, who are only eligible for Pell grants in special circumstances. Percentage of Degrees is based on the number of baccalaureate degrees awarded to Pell recipients, as shown above, divided by the total degrees awarded—excluding those awarded to non-resident aliens.

**Notes on Trends:** In 2007, the US Department of Education re-classified the taxonomy for self-reported race/ethnicity categories and allowed universities a two-year phase-in process before all institutions were required to report based on the new categories for the 2011-12 academic year. This reclassification will impact trends.
### Section 4 – Undergraduate Education (continued)

#### TABLE 4J. Baccalaureate Degrees Without Excess Credit Hours

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>FTIC</td>
<td>77%</td>
<td>76%</td>
<td>75%</td>
<td>68%</td>
<td>79%</td>
</tr>
<tr>
<td>AA Transfers</td>
<td>80%</td>
<td>79%</td>
<td>72%</td>
<td>66%</td>
<td>75%</td>
</tr>
<tr>
<td>Other Transfers</td>
<td>76%</td>
<td>82%</td>
<td>81%</td>
<td>77%</td>
<td>80%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>78%</td>
<td>78%</td>
<td>75%</td>
<td>74%</td>
<td>78%</td>
</tr>
</tbody>
</table>

Notes: This table is based on statute 1009.286 (see link), and excludes certain types of student credits (e.g., accelerated mechanisms, remedial coursework, non-native credit hours that are not used toward the degree, non-native credit hours from failed, incomplete, withdrawn, or repeated courses, credit hours from internship programs, credit hours up to 10 foreign language credit hours for transfer students in Florida, and credit hours earned in military science courses that are part of the Reserve Officers' Training Corps (ROTC) program). This metric is not the same as the Excess Hours Surcharge, which has multiple cohorts with varying fee rates. This table reports the percentage of baccalaureate degrees awarded within 110% of the catalog hours required for a degree based on the Board of Governors Academic Program Inventory. This calculation is based on Hours To Degree data submitted by universities to the Board of Governors and excludes recent graduates who have already earned a baccalaureate degree. Note*: Improvements were made to data collection process beginning with 2012-13 data to better account for high school dual enrolled credits that are exempt from the excess hour calculation.

### TABLE 4K. Undergraduate Course Offerings

<table>
<thead>
<tr>
<th></th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
<th>Fall 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Course Sections</td>
<td>3,806</td>
<td>3,764</td>
<td>3,836</td>
<td>3,318</td>
<td>3,217</td>
</tr>
</tbody>
</table>

#### Percentage of Undergraduate Course Sections by Class Size

<table>
<thead>
<tr>
<th>Class Size</th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
<th>Fall 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fewer than 30 Students</td>
<td>63%</td>
<td>64%</td>
<td>65%</td>
<td>62%</td>
<td>63%</td>
</tr>
<tr>
<td>30 to 49 Students</td>
<td>21%</td>
<td>21%</td>
<td>21%</td>
<td>23%</td>
<td>21%</td>
</tr>
<tr>
<td>50 to 99 Students</td>
<td>10%</td>
<td>10%</td>
<td>8%</td>
<td>9%</td>
<td>9%</td>
</tr>
<tr>
<td>100 or More Students</td>
<td>6%</td>
<td>6%</td>
<td>6%</td>
<td>6%</td>
<td>7%</td>
</tr>
</tbody>
</table>

Notes: This data is based on Common Data Set (CDS) definitions. According to CDS, a ‘class section’ is an organized course offered for credit, identified by discipline and number, meeting at a stated time or times in a classroom or similar setting, and not a subsection such as a laboratory or discussion session. Undergraduate class sections are defined as any sections in which at least one degree-seeking undergraduate student is enrolled for credit. Exclude distance learning classes and noncredit classes and individual instruction such as dissertation or thesis research, music instruction, or one-to-one readings. Exclude students in independent study, co-operative programs, internships, foreign language taped tutor sessions, practicums, and all students in one-on-one classes.
Section 4 – Undergraduate Education (continued)

TABLE 4L. Percentage of Undergraduate Credit Hours Taught by Instructor Type

<table>
<thead>
<tr>
<th>Instructor Type</th>
<th>2010-11</th>
<th>2011-12</th>
<th>2012-13</th>
<th>2013-14</th>
<th>2014-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty</td>
<td>56%</td>
<td>56%</td>
<td>60%</td>
<td>61%</td>
<td>63%</td>
</tr>
<tr>
<td>Adjunct Faculty</td>
<td>12%</td>
<td>12%</td>
<td>11%</td>
<td>12%</td>
<td>10%</td>
</tr>
<tr>
<td>Graduate Students</td>
<td>29%</td>
<td>28%</td>
<td>28%</td>
<td>26%</td>
<td>25%</td>
</tr>
<tr>
<td>Other Instructors</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
</tr>
</tbody>
</table>

Note: The total number of undergraduate state fundable credit hours taught will be divided by the undergraduate credit hours taught by each instructor type to create a distribution of the percentage taught by each instructor type. Four instructor types are defined as faculty (pay plans 01, 02, and 22), OPS faculty (pay plan 08), graduate student instructors (pay plan 06), and others (all other pay plans). If a course has more than one instructor, then the university’s reported allocation of section effort will determine the allocation of the course’s total credit hours to each instructor. The definition of faculty varies for Tables 4L, 4M and 4N. For Faculty Teaching Undergraduates, the definition of faculty is based on pay plans 01, 02, and 22.

TABLE 4M. Student/Faculty Ratio

<table>
<thead>
<tr>
<th></th>
<th>Fall 2010</th>
<th>Fall 2011</th>
<th>Fall 2012</th>
<th>Fall 2013</th>
<th>Fall 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ratio</td>
<td>26</td>
<td>27</td>
<td>26</td>
<td>26</td>
<td>26</td>
</tr>
</tbody>
</table>

Note: This data is based on Common Data Set (CDS) definitions. This is the Fall ratio of full-time equivalent students (full-time plus 1/3 part time) to full-time equivalent instructional faculty (full time plus 1/3 part time). The ratio calculations exclude both faculty and students in stand-alone graduate or professional programs such as medicine, law, veterinary, dentistry, social work, business, or public health in which faculty teach virtually only graduate-level students. Undergraduate or graduate student teaching assistants are not counted as faculty.

TABLE 4N. Professional Licensure/Certification Exams for Undergraduates

**Nursing: National Council Licensure Examination for Registered Nurses**

<table>
<thead>
<tr>
<th>Year</th>
<th>Examinees</th>
<th>First-time Pass Rate</th>
<th>National Benchmark</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>154</td>
<td>92%</td>
<td>89%</td>
</tr>
<tr>
<td>2011</td>
<td>108</td>
<td>95%</td>
<td>89%</td>
</tr>
<tr>
<td>2012</td>
<td>110</td>
<td>96%</td>
<td>92%</td>
</tr>
<tr>
<td>2013</td>
<td>121</td>
<td>88%</td>
<td>85%</td>
</tr>
<tr>
<td>2014</td>
<td>110</td>
<td>80%</td>
<td>85%</td>
</tr>
</tbody>
</table>

Note: Pass rate for first-time examinees for the National Council Licensure Examination for Registered Nurses (NCLEX-RN) are based on the performance of graduates of baccalaureate nursing programs. National benchmark data is based on Jan-Dec NCLEX-RN results for first-time examinees from students in US-educated baccalaureate degree programs as published by the National Council of State Boards of Nursing.
Section 4 – Undergraduate Education (continued)

TABLE 4O. Post-Graduation Metrics
Percent of Bachelor's Graduates Employed Full-time or Continuing their Education, One Year After Graduation

<table>
<thead>
<tr>
<th></th>
<th>2010-11</th>
<th>2011-12</th>
<th>2012-13</th>
<th>2013-14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enrolled or Employed (Full-time)</td>
<td>63.05%</td>
<td>63.40%</td>
<td>69.56%</td>
<td>67.92%</td>
</tr>
<tr>
<td>Enrolled or Employed (Earning $25,000+)</td>
<td>.</td>
<td>.</td>
<td>60.31%</td>
<td>59.11%</td>
</tr>
<tr>
<td>Number of States included in Search</td>
<td>1</td>
<td>36</td>
<td>38</td>
<td>38</td>
</tr>
<tr>
<td>Percent Found</td>
<td>88%</td>
<td>86%</td>
<td>90%</td>
<td>90%</td>
</tr>
</tbody>
</table>

Notes: Enrolled or Employed Full-Time is based on the number of recent baccalaureate graduates who are either employed full-time or continuing their education within one year after graduation. Full-time employment is based on those who earned at least as much as a full-time (40hrs a week) worker making minimum wage. Enrolled or Employed (Earning $25,000+) is based on the number of recent baccalaureate graduates who are either employed and earned at least $25,000 or continuing their education within one year after graduation. The employed data includes non-Florida data that is available from the Wage Record Interchange System 2 (known as "WRIS 2") and Federal employee data that is available from the Federal Employment Data Exchange System (FEDES) initiative. Military employment data was collected by the Board of Governors staff from university staff. Due to limitations in the data, the continuing enrollment data includes any enrollment the following year regardless of whether the enrollment was post-baccalaureate or not. Percent Found refers to the percentage of graduates found in the dataset — including those that did not earn wages above the full-time threshold and those who were found outside of the one-year window.

For more information about the methodology see: [http://www.fboed.edu/about/budget/performance_funding.php](http://www.fboed.edu/about/budget/performance_funding.php).
For more information about WRIS2 see: [http://www.colats.gov/performance/wris_2.rtf](http://www.colats.gov/performance/wris_2.rtf).
For more information about FEDES see: [http://www.flbupt.edu/ft/eques/](http://www.flbupt.edu/ft/eques/).

Median Wages of Bachelor's Graduates Employed Full-time in Florida, One Year After Graduation

<table>
<thead>
<tr>
<th></th>
<th>2010-11</th>
<th>2011-12</th>
<th>2012-13</th>
<th>2013-14</th>
</tr>
</thead>
<tbody>
<tr>
<td>5th PERCENTILE WAGE</td>
<td>$17,000</td>
<td>$17,300</td>
<td>$17,900</td>
<td>$18,000</td>
</tr>
<tr>
<td>25th PERCENTILE WAGE</td>
<td>$22,700</td>
<td>$23,200</td>
<td>$24,200</td>
<td>$24,700</td>
</tr>
<tr>
<td>MEDIAN WAGE</td>
<td>$30,100</td>
<td>$30,300</td>
<td>$31,500</td>
<td>$32,700</td>
</tr>
<tr>
<td>75th PERCENTILE WAGE</td>
<td>$39,100</td>
<td>$36,800</td>
<td>$41,200</td>
<td>$42,700</td>
</tr>
<tr>
<td>95th PERCENTILE WAGE</td>
<td>$56,000</td>
<td>$54,500</td>
<td>$59,800</td>
<td>$59,700</td>
</tr>
<tr>
<td>Percent Found</td>
<td>39%</td>
<td>37%</td>
<td>40%</td>
<td>40%</td>
</tr>
</tbody>
</table>

Notes: Median Wage data is based on Florida's annualized Unemployment Insurance (UI) wage data for those graduates who earned at least as much as a full-time employee making minimum wage in the fiscal quarter a full year after graduation. This UI wage data does not include individuals who are self-employed, employed out of state, employed by the military or federal government, or those without a valid social security number. This wage data includes graduates who were both enrolled and employed. Wages rounded to nearest hundreds. Percent Found refers to the percentage of graduates found in the dataset — including those that did not earn wages above the full-time threshold and those who were found outside of the one-year window.
### Section 5 – Graduate Education

#### TABLE 5A. Graduate Degree Program Changes in AY 2014-15

<table>
<thead>
<tr>
<th>Title of Program</th>
<th>Six-digit CIP Code</th>
<th>Degree Level</th>
<th>Date of UBOT Action</th>
<th>Starting or Ending Term</th>
<th>Board of Governors Action</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New Programs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applied Economics</td>
<td>45.0602</td>
<td>Masters</td>
<td>11/21/2014</td>
<td>SPRING 2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Risk Management and Insurance</td>
<td>52.1701</td>
<td>Masters</td>
<td>11/21/2014</td>
<td>SUMMER 2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Terminated Programs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Dance Studies</td>
<td>50.0399</td>
<td>Masters</td>
<td>3/5/2015</td>
<td>SUMMER 2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vocational Rehab Counseling</td>
<td>51.231</td>
<td>Masters</td>
<td>3/5/2015</td>
<td>SPRING 2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Programs Suspended for New Enrollments</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>American/United States Studies/Civilization</td>
<td>5.0102</td>
<td>Masters</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anthropology</td>
<td>45.0201</td>
<td>Masters</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anthropology</td>
<td>45.0201</td>
<td>Research</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Apparel and Textiles, General</td>
<td>19.0901</td>
<td>Masters</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chemical Physics</td>
<td>40.0508</td>
<td>Masters</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chemical Physics</td>
<td>40.0508</td>
<td>Research</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Counselor Education/School Counseling and Guidance Services</td>
<td>13.1101</td>
<td>Masters</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Educational/Instructional Technology</td>
<td>13.0501</td>
<td>Specialist</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Kinesiology and Exercise Science</td>
<td>31.0505</td>
<td>Specialist</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Social Sciences, General</td>
<td>45.0101</td>
<td>Masters</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vocational Rehabilitation Counseling/Counselor</td>
<td>51.2310</td>
<td>Research</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vocational Rehabilitation Counseling/Counselor</td>
<td>51.2310</td>
<td>Specialist</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**New Programs Considered By University But Not Approved**

None

*Note: This table does not include new majors or concentrations added under an existing degree program CIP Code. This table reports the new and terminated program changes based on Board action dates between May 5, 2014 and May 4, 2015. **New Programs** are proposed new degree programs that have been completely through the approval process at the university and, if appropriate, the Board of Governors.** Does not include new majors or concentrations added under an existing degree program CIP Code. **Terminated Programs** are degree programs for which the entire CIP Code has been terminated and removed from the university's inventory of degree programs. Does not include majors or concentrations terminated under an existing degree program CIP Code if the code is to remain active on the academic degree inventory. **Programs Suspended for New Enrollments** are degree programs for which enrollments have been temporarily suspended for the entire CIP Code, but the program CIP Code has not been terminated. Does not include majors or concentrations suspended under an existing degree program CIP Code if the code is to remain active on the academic degree inventory and new enrollments in any active major will be reported. Programs included in this list may have been suspended for new enrollments sometime in the past and have continued to be suspended at least one term of this academic year. **New Programs Considered by University But Not Approved** includes any programs considered by the university board of trustees, or any committee of the board, but not approved for implementation. Also include any programs that were returned prior to Board consideration by the university administration for additional development, significant revisions, or re-conceptualization; regardless of whether the proposal was eventually taken to the university board for approval. Count the returns once per program, not multiple times the proposal was returned for revisions, unless there is a total re-conceptualization that brings forward a substantially different program in a different CIP Code.*
Section 5 – Graduate Education *(continued)*

**TABLE 5B. Graduate Degrees Awarded**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>First Majors</td>
<td>3,095</td>
<td>3,051</td>
<td>3,104</td>
<td>2,927</td>
<td>3,019</td>
</tr>
<tr>
<td>Second majors</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>3,095</td>
<td>3,051</td>
<td>3,104</td>
<td>2,927</td>
<td>3,019</td>
</tr>
<tr>
<td>Masters and Specialist (first majors)</td>
<td>2,277</td>
<td>2,201</td>
<td>2,368</td>
<td>2,114</td>
<td>2,202</td>
</tr>
<tr>
<td>Research Doctoral (first majors)</td>
<td>423</td>
<td>428</td>
<td>370</td>
<td>410</td>
<td>424</td>
</tr>
<tr>
<td>Professional Doctoral (first majors)</td>
<td>395</td>
<td>422</td>
<td>366</td>
<td>403</td>
<td>393</td>
</tr>
<tr>
<td>Dentistry</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Law</td>
<td>276</td>
<td>288</td>
<td>239</td>
<td>262</td>
<td>259</td>
</tr>
<tr>
<td>Medicine</td>
<td>113</td>
<td>118</td>
<td>112</td>
<td>115</td>
<td>114</td>
</tr>
<tr>
<td>Nursing Practice</td>
<td>0</td>
<td>16</td>
<td>15</td>
<td>26</td>
<td>20</td>
</tr>
<tr>
<td>Pharmacy</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Physical Therapist</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Veterinary Medicine</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other Professional Doctorate</td>
<td>6</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Note: This table reports the total number of graduate level degrees that were awarded by academic year as well as the number by level. The table provides a breakout for the Professional Doctoral degrees.

**TABLE 5C. Graduate Degrees Awarded in Areas of Strategic Emphasis**

[Includes Second Majors]

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>STEM</td>
<td>453</td>
<td>447</td>
<td>475</td>
<td>440</td>
<td>536</td>
</tr>
<tr>
<td>HEALTH</td>
<td>283</td>
<td>269</td>
<td>279</td>
<td>291</td>
<td>258</td>
</tr>
<tr>
<td>GLOBALIZATION</td>
<td>84</td>
<td>95</td>
<td>89</td>
<td>61</td>
<td>78</td>
</tr>
<tr>
<td>EDUCATION</td>
<td>327</td>
<td>256</td>
<td>251</td>
<td>254</td>
<td>243</td>
</tr>
<tr>
<td>GAP ANALYSIS</td>
<td>66</td>
<td>93</td>
<td>88</td>
<td>81</td>
<td>152</td>
</tr>
<tr>
<td><strong>SUBTOTAL</strong></td>
<td>1,213</td>
<td>1,160</td>
<td>1,182</td>
<td>1,127</td>
<td>1,267</td>
</tr>
</tbody>
</table>

**PSE PERCENT OF TOTAL**

|                | 39.19%  | 38.02%  | 38.08%  | 38.50%  | 41.97%  |

Notes: This is a count of graduate degrees awarded within specific Areas of Strategic Emphasis, as determined by the Board of Governors staff with consultation with business and industry groups and input from universities. This is a count of graduate degrees awarded within specific Programs of Strategic Emphasis, as determined by the Board of Governors staff with consultation with business and industry groups and input from universities – for more information see: [http://www.fboag.edu/pressroom/strategic_emphasis/](http://www.fboag.edu/pressroom/strategic_emphasis/). The Board of Governors revised the list of Programs of Strategic Emphasis in November 2013, and the new categories were applied to the historical degrees. A student who has multiple majors in the subset of targeted Classification of Instruction Program codes will be counted twice (i.e., double-majors are included). Note: The denominator used in the percentage includes second majors.
### Section 5 – Graduate Education (continued)

#### TABLE 5D. Professional Licensure Exams for Graduate Programs

**Law: Florida Bar Exam**

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Examinees</td>
<td>237</td>
<td>246</td>
<td>213</td>
<td>227</td>
<td>210</td>
</tr>
<tr>
<td>First-time Pass Rate</td>
<td>88%</td>
<td>88%</td>
<td>88%</td>
<td>82%</td>
<td>80%</td>
</tr>
<tr>
<td>State Benchmark</td>
<td>82%</td>
<td>81%</td>
<td>80%</td>
<td>74%</td>
<td>69%</td>
</tr>
</tbody>
</table>

**Medicine: US Medical Licensing Exam - Step 1 (for 2nd year MD students)**

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015 Preliminary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Examinees</td>
<td>118</td>
<td>116</td>
<td>115</td>
<td>118</td>
<td>120</td>
</tr>
<tr>
<td>First-time Pass Rate</td>
<td>92%</td>
<td>92%</td>
<td>96%</td>
<td>95%</td>
<td>92%</td>
</tr>
<tr>
<td>National Benchmark</td>
<td>94%</td>
<td>96%</td>
<td>97%</td>
<td>96%</td>
<td>96%</td>
</tr>
</tbody>
</table>

**Medicine: US Medical Licensing Exam - Step 2 Clinical Knowledge (for 4th year MD students)**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Examinees</td>
<td>115</td>
<td>117</td>
<td>114</td>
<td>115</td>
<td>165</td>
</tr>
<tr>
<td>First-time Pass Rate</td>
<td>97%</td>
<td>100%</td>
<td>99%</td>
<td>100%</td>
<td>97%</td>
</tr>
<tr>
<td>National Benchmark</td>
<td>97%</td>
<td>98%</td>
<td>98%</td>
<td>97%</td>
<td>95%</td>
</tr>
</tbody>
</table>

**Medicine: US Medical Licensing Exam - Step 2 Clinical Skills (for 4th year MD students)**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Examinees</td>
<td>115</td>
<td>117</td>
<td>114</td>
<td>115</td>
<td>116</td>
</tr>
<tr>
<td>First-time Pass Rate</td>
<td>98%</td>
<td>100%</td>
<td>99%</td>
<td>95%</td>
<td>92%</td>
</tr>
<tr>
<td>National Benchmark</td>
<td>98%</td>
<td>97%</td>
<td>98%</td>
<td>96%</td>
<td>96%</td>
</tr>
</tbody>
</table>

Note on State & National Benchmarks: Florida Bar exam pass rates are reported online by the Florida Board of Bar Examiners. Law exam data is based on Feb. and July administrations every calendar year. The State benchmark excludes non-Florida institutions. The USMLE national exam pass rates, for the MD degree from US institutions, is reported online by the National Board of Medical Examiners (NBME).
Section 6 – Research and Economic Development

TABLE 6A. Research and Development

<table>
<thead>
<tr>
<th>R&amp;D Expenditures</th>
<th>2009-10</th>
<th>2010-11</th>
<th>2011-12</th>
<th>2012-13</th>
<th>2013-14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total (S&amp;E and non-S&amp;E) ($1,000s)</td>
<td>$227,329</td>
<td>$230,411</td>
<td>$225,378</td>
<td>$250,877</td>
<td>$252,548</td>
</tr>
<tr>
<td>Federally Funded ($1,000s)</td>
<td>$134,794</td>
<td>$140,850</td>
<td>$140,419</td>
<td>$148,413</td>
<td>$151,701</td>
</tr>
<tr>
<td>Percent Funded from External Sources</td>
<td>71%</td>
<td>64%</td>
<td>66%</td>
<td>64%</td>
<td>66%</td>
</tr>
<tr>
<td>Total R&amp;D Expenditures Per Full-Time, Tenured, Tenure-Earning Faculty Member ($)</td>
<td>$211,666</td>
<td>$222,835</td>
<td>$229,276</td>
<td>$245,717</td>
<td>$246,148</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Technology Transfer</th>
<th>2009-10</th>
<th>2010-11</th>
<th>2011-12</th>
<th>2012-13</th>
<th>2013-14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invention Disclosures</td>
<td>37</td>
<td>60</td>
<td>65</td>
<td>48</td>
<td>45</td>
</tr>
<tr>
<td>Licenses &amp; Options Executed</td>
<td>6</td>
<td>10</td>
<td>13</td>
<td>15</td>
<td>25</td>
</tr>
<tr>
<td>Licensing Income Received ($)</td>
<td>$1,314,917</td>
<td>$1,467,981</td>
<td>$1,333,065</td>
<td>$1,036,222</td>
<td>$554,265</td>
</tr>
<tr>
<td>Number of Start-Up Companies</td>
<td>2</td>
<td>4</td>
<td>0</td>
<td>3</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>U.S. Patents Issued</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>REVISED</td>
<td>36</td>
<td>24</td>
<td>32</td>
<td>47</td>
<td>30</td>
</tr>
</tbody>
</table>

Notes: R&D Expenditures are based on the National Science Foundation's annual Survey of R&D Expenditures at Universities and Colleges (data include Science & Engineering and non-Science & Engineering awards). Percent Funded from External Sources is defined as funds from federal, private industry and other sources (non-state and non-institutional funds). Total R&D expenditures are divided by fall, full-time tenured/tenure-track faculty as reported to IPEDS (FSCU includes both tenured/tenure-track and non-tenure-track faculty). The fall faculty year used will align with the beginning of the fiscal year (e.g., 2007 FY R&D expenditures are divided by fall 2006 faculty). Invention Disclosures reports the number of disclosures made to the university's Office of Technology Commercialization to evaluate new technology – as reported on the Association of University Technology Managers Annual (AUTM) annual Licensing Survey. Licenses & Options Executed that were executed in the year indicated for all technologies – as reported by AUTM. Licensing Income Received refers to license issue fees, payments under options, annual minimums, running royalties, termination payments, amount of equity received when cashed-in, and software and biological material end-user license fees of $1,000 or more, but not research funding, patent expense reimbursement, valuation of equity not cashed-in, software and biological material end-user license fees of less than $1,000, or trademark licensing royalties from university insignia – as reported on the AUTM survey. Number of Start-up Companies that were dependent upon the licensing of University technology for initiation – as reported on the Association of University Technology Managers Annual Licensing Survey. REVISED: US Patents Issued awarded by the United States Patent and Trademark Office (USPTO) by Calendar year.
Section 6 – Research and Economic Development (continued)

TABLE 6B. Centers of Excellence

<table>
<thead>
<tr>
<th>Name of Center:</th>
<th>Center of Excellence in Advanced Materials</th>
<th>Cumulative (since inception to June 2016)</th>
<th>Fiscal Year 2014-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year Created:</td>
<td>2007</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Research Effectiveness**

*Only includes data for activities directly associated with the Center. Does not include the non-Center activities for faculty who are associated with the Center.*

- Number of Competitive Grants Applied For: 231, 19
- Value of Competitive Grants Applied For ($): $203,605,039, $9,674,205
- Number of Competitive Grants Received: 213, 7
- Value of Competitive Grants Received ($) : $28,152,649, $707,500
- Total Research Expenditures ($) : $27,267,560, $3,821,411
- Number of Publications in Refereed Journals From Center Research: 212, 45
- Number of Invention Disclosures: 33, 3
- Number of Licenses/Options Executed: 3, 0
- Licensing Income Received ($): $27,000, $10,000

**Collaboration Effectiveness**

*Only reports on relationships that include financial or in-kind support.*

- Collaborations with Other Postsecondary Institutions: 29, 1
- Collaborations with Private Industry: 60, 2
- Collaborations with K-12 Education Systems/Schools: 72, 8
- Undergraduate and Graduate Students Supported with Center Funds: 395, 52

**Economic Development Effectiveness**

- Number of Start-Up companies with a physical presence, or employees, in Florida: 5, 1
- Jobs Created By Start-Up Companies Associated with the Center: 25, 4
- Specialized Industry Training and Education: 16, 0
- Private-sector Resources Used to Support the Center's Operations: $0, $0

Narrative Comments on next page.
## Section 6 – Research and Economic Development (continued)

### TABLE 6B. Centers of Excellence (continued)

<table>
<thead>
<tr>
<th>Name of Center</th>
<th>Center of Excellence in Advanced Materials</th>
</tr>
</thead>
<tbody>
<tr>
<td>Narrative Comments [Most Recent Year]:</td>
<td></td>
</tr>
</tbody>
</table>

A major achievement during the past year is the continuing advancement in producing long strips of buckypaper at a rapid rate. Buckypaper, which are sheets of tailored nanotubes, were produced using a batch process. However, to become economically viable, these nanotube sheets must be produced on a continuous basis at a rapid rate. During the reporting period, a prototype capable of producing 6-inch wide strips of buckypaper at 5 feet per minutes was built and demonstrated. At this time, an improved version capable of producing 12-inch wide strips is being built. The prototype was developed leveraging Center of Excellence funding with $1,465,059 from the National Science Foundation (NSF), which was received during the last reporting period. As this report is being prepared, one licensing agreements has been signed with talks are underway regarding additional licensing for this development.

Building on CEAM developments and a $4.4M contract from the Department of Veterans Affairs to build more comfortable sockets for amputees, the axuetic foam developed during this project was licensed to a Florida start-up company called Auxadyne, Inc. While Auxadyne intended to primarily develop the foam to improve the comfort of prosthetics, Auxadyne personnel and Center personnel have been in discussions with sporting goods companies to expand the use of foam for protective gear in sports. To further develop the foam for prosthetics, the U.S. Army Medical Research and Materiel Command (USAMRMC) awarded the FSU and the Center $500,000.

Several of our female student researchers have developed a DreamOn, which consists of students from all disciplines to address the gender bias in science, technology, engineering, and mathematics (STEM) fields by:

1. increasing visibility of female scientists/technicians/engineers/mathematicians,
2. connecting elementary and middle school students with STEM activities,
3. showing participants that they can enjoy, understand, participate and excel in scientific activities and endeavors,
4. providing a network for female graduate students, faculty members, and professionals, and
5. mentoring younger students, from elementary school through high school and college

Activities include volunteer outreach activities, such as with MoLab, the Challenger Learning Center, or student groups, fostering mentor-mentee relationships, networking events for students, faculty, and professionals, and social events.

Held in conjunction with the National High Magnetic Field Laboratory Open House in February, over 250 people toured the Material Research Building, which is the primary home of the Center. Center representatives also presented certain projects during FSU Day at the Capital.

Leveraging resources from CEAM, NSF and Air Force Research Lab, for the previous six years, FSU and the Center hosted approximately 14 excellent undergraduate students from throughout the nation in a Research Experience for Undergraduate program to encourage them to pursue engineering graduate degrees at FSU.
As previously reported, Center personnel during the last reporting period established a start-up company called the Nanotechnology Patronas Group, Inc. This company is further developing and attempting to commercialize the bio-inspired In-situ Triboluminescent Optical Fiber (ITO) sensor system. The ITOF is an integrated sensing and signal transmission sensor system, which can function as a triboluminescent optical nerve analogous to the nerves in mammals and may be readily integrated into large civil and aerospace structures to provide in-situ, distributed and real-time damage monitoring. During this reporting period, the National Science Foundation has provided funding to determine the commercial feasibility for using this technology in wind blades. The researchers completed a SBIR from NSF and have applied for an STTR.

As previously reported, Bing Energy moved to Tallahassee in large part due to incentives from the State of Florida, FSU and the Center. Bing Energy has licensed the Center's buckypaper technology to manufacture polymer electrolyte membrane fuel cells, which will be more affordable, efficient and durable. The waiver of licensing fees expired at the end of 2012, so FSU received the first payment in June 2013. Bing eventually anticipates creating at least 244 jobs, paying an average wage of $41,655.
## Section 6 – Research and Economic Development (continued)

### TABLE 6B. Centers of Excellence

<table>
<thead>
<tr>
<th>Name of Center:</th>
<th>Florida Center for Advanced Aero-Propulsion</th>
<th>Cumulative (since inception to June 2015)</th>
<th>Fiscal Year 2014-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year Created:</td>
<td>2008</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Research Effectiveness

*Only includes data for activities directly associated with the Center. Does not include the non-Center activities for faculty who are associated with the Center.*

<table>
<thead>
<tr>
<th>Metric</th>
<th>Cumulative</th>
<th>Fiscal Year 2014-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Competitive Grants Applied For</td>
<td>521</td>
<td>75</td>
</tr>
<tr>
<td>Value of Competitive Grants Applied For ($)</td>
<td>$175,016,017</td>
<td>$23,541,154</td>
</tr>
<tr>
<td>Number of Competitive Grants Received</td>
<td>374</td>
<td>52</td>
</tr>
<tr>
<td>Value of Competitive Grants Received ($)</td>
<td>$57,951,734</td>
<td>$5,858,160</td>
</tr>
<tr>
<td>Total Research Expenditures ($)</td>
<td>$31,132,004</td>
<td>$4,955,654</td>
</tr>
<tr>
<td>Number of Publications in Refereed Journals From Center Research</td>
<td>331</td>
<td>50</td>
</tr>
<tr>
<td>Number of Invention Disclosures</td>
<td>26</td>
<td>2</td>
</tr>
<tr>
<td>Number of Licenses/Options Executed</td>
<td>18</td>
<td>5</td>
</tr>
<tr>
<td>Licensing Income Received ($)</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

#### Collaboration Effectiveness

*Only reports on relationships that include financial or in-kind support.*

<table>
<thead>
<tr>
<th>Metric</th>
<th>Cumulative</th>
<th>Fiscal Year 2014-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collaborations with Other Postsecondary Institutions</td>
<td>115</td>
<td>26</td>
</tr>
<tr>
<td>Collaborations with Private Industry</td>
<td>145</td>
<td>58</td>
</tr>
<tr>
<td>Collaborations with K-12 Education Systems/Schools</td>
<td>41</td>
<td>11</td>
</tr>
<tr>
<td>Undergraduate and Graduate Students Supported with Center Funds</td>
<td>430</td>
<td>90</td>
</tr>
</tbody>
</table>

#### Economic Development Effectiveness

<table>
<thead>
<tr>
<th>Metric</th>
<th>Cumulative</th>
<th>Fiscal Year 2014-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Start-Up companies with a physical presence, or employees, in Florida</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td>Jobs Created By Start-Up Companies Associated with the Center</td>
<td>289</td>
<td>2</td>
</tr>
<tr>
<td>Specialized Industry Training and Education</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>Private-sector Resources Used to Support the Center's Operations</td>
<td>$874,779</td>
<td>$142,673</td>
</tr>
</tbody>
</table>

**Narrative Comments on next page.**
Section 6 – Research and Economic Development (continued)
TABLE 6B. Centers of Excellence (continued)

<table>
<thead>
<tr>
<th>Name of Center</th>
<th>Florida Center for Advanced Aero-Propulsion</th>
</tr>
</thead>
<tbody>
<tr>
<td>Narrative Comments [Most Recent Year]:</td>
<td></td>
</tr>
</tbody>
</table>

The Florida Center for Advanced Aero-Propulsion consists of Florida State University, the lead institution, and the partner institutions of University of Central Florida, University of Florida and Embry Riddle Aeronautical University. Researchers at FCAAP partners have well-established, globally recognized programs spanning a broad range of aerospace/aviation areas, including Aerospace, Aviation, Propulsion, Simulation, Energy (Gas Turbine) and Materials. This unique four- university partnership hosts also an impressive collection of resources including unique facilities (valued at over $100 million), capabilities and intellectual capital (including over 250 students).

The FCAAP partners have had a very strong record of cutting-edge research that has been regularly attracting external funds for research and development, thus leveraging and enhancing the already existing resources through partnerships with industry, governmental agency and others.

The most invaluable resource being developed at the center is building, through a student-centric training program and talent pool of faculty and students, the next generation of highly-skilled workforce required for the continually evolving, growing and sustainable economy in Florida. FCAAP member institutions, who have attracted, retained and nurtured outstanding faculty (including many Eminent Scholars and Career Award Recipients from agencies such as NSF, AFOSR, DARPA and ONR) graduate together an overwhelming portion of Aeronautical and Mechanical Engineering with BS/MS and Ph.D. degrees in Florida (BS over 60% and MS and Ph.D. over 60%).

From its inception FCAAP--through its innovative, advanced research aimed at providing technological solutions for its industry partners, developing high-skilled workforce through innovative education and training programs, and fostering the creation of new businesses and markets-- has increased Florida’s reputation and visibility, nationally and globally, and is helping Florida not only to become a leader in Aerospace, Aviation, Commercial Space Transportation and Power Generation, but also to build a diverse, knowledge-based economy that will expand sustainably.

Research Highlights Fiscal Year 2014-15 -- FSU ONLY
Grants Applied for and Received: 35
Total Research Expenditures: $4,035,013
Publications in Refereed Journals: 24
Invention Disclosures Filed and Patents Awarded: 7
Collaborations with Other Post-Secondary Institutions: 24
Collaborations with Private Industry: 47
Students Supported with Center Funds: 55
Private Sector Resources Used: $142,673
As an informational item to the Board of Trustees, the Promotion and Tenure process for 2015-2016 is complete. Tenure was granted to 32 faculty members effective Fall Semester 2016. Tenure was also granted to 14 new faculty members effective upon the date of their initial appointments.
Mr. Daniel Pertwee, Representative of Divest FSU

Ms. Alexandra Duprey, Director, Office of Student Sustainability, SGA
Mr. Tom Hynes, Chair, Alumni Association Board
AMENDED AND RESTATED BYLAWS OF THE
SEMINOLE BOOSTERS, INC.
(As Amended Through August 9, 2012)

ARTICLE 1
PURPOSE AND MISSION

1.1 Purpose. The purposes of the corporation shall be as stated in its
Articles of Incorporation.

1.2 Mission. To the extent consistent with the corporation’s purposes, the
mission of the corporation is to serve as a Direct Support Organization for Florida
State University. As a fundraising arm of the Florida State University, the
corporation generates current and deferred contributions primarily for the purpose
of enhancing the overall educational environment, financial security, and long-term
success of the University’s athletic program, while promoting the education, health,
and physical welfare of student athletes at the University.

ARTICLE 2
MEMBERSHIP

2.1 The membership of the corporation during any fiscal year shall consist
of all persons who have made an annual financial contribution to the corporation for
that fiscal year at not less than the minimum level established by the Board of
Directors. The membership shall comply with the Articles of Incorporation and the
Bylaws of the corporation and the rules and regulations of the Florida State
University Board of Trustees and the National Collegiate Athletic Association. The
members shall have no voting rights as members of the corporation. No member will be personally liable for any of the corporation’s debts, liabilities, or obligations, nor will any member be assessed for the debts, liabilities, or obligations of the corporation.

**ARTICLE 3**

**ADMINISTRATION**

3.1 **General Powers.** The business and affairs of the corporation shall be conducted under the general supervision and control of a Board of Directors.

3.2 **Specific Powers.** The specific powers of the Board of Directors shall be those granted to the Board of Directors by the Articles of Incorporation, Chapter 617, Florida Statutes, and these Bylaws. The corporation shall comply with all applicable laws, regulations, and rules of the Florida State University Board of Trustees and the Florida State University that apply to university direct-support organizations, as defined in Section 1004.28, Florida Statutes, as it may be amended, or any successor statute governing university direct-support organizations.

3.3 **Chief Financial Officer.** The corporation shall employ a Chief Financial Officer to manage the fiscal affairs of the corporation. The Board of Directors may delegate routine supervision of this position to the President of the corporation. The Chief Financial Officer shall also report directly to the Vice President of Finance and Administration of the Florida State University. The Chief Financial Officer shall not be a member of the Board of Directors or the Executive Committee.
3.4 **University Oversight.** The President of the Florida State University may designate University personnel as liaison on a continuing basis between the University and this corporation. The books and records of this corporation shall be open to such persons at all times. The President of the Florida State University has authority to monitor all transactions by the corporation relating to the Florida State University, its resources, and name, to monitor the corporation's compliance with federal and state laws, and to approve contributions of funds or supplements to support intercollegiate athletics, and shall have such powers and duties related thereto as are provided by applicable law.

3.5 **Employees.** Employees of the corporation are not employees of the State of Florida or the Florida State University Board of Trustees by virtue of their employment by the corporation. The corporation shall not discriminate in providing employment opportunities based on a person's race, color, religion, gender, age, or national origin.

3.6 **Prohibited Activities.** The corporation shall not, directly or indirectly, (a) make any gift to a political committee or committee of continuous existence as defined in Section 106.011, Florida Statutes (as it may be amended), for any purpose, (b) intervene in, or participate in, any political campaign on behalf of any candidate for public office, or (c) engage in any activity that is not permitted to be engaged in by a corporation that is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code of 1986, as amended, or any corresponding future provision of the Internal Revenue Code.
ARTICLE 4
BOARD OF DIRECTORS - MEMBERSHIP, ELECTION, AND TERM OF OFFICE

4.1 Board Membership. The Board of Directors shall consist of not less than twenty (20) nor more than sixty (60) members, each of whom shall have attained the age of eighteen (18). Within the above-stated range, the number of members constituting the full Board of Directors at any particular time shall be determined from time to time by the Board of Directors. Fourteen (14) members of the Board of Directors shall be Ex-Officio members ("Ex-Officio Members"), determined as provided in Section 4.2, and the remaining members of the Board of Directors shall be At-Large members ("At-Large Members") elected to the Board as provided in Section 4.3. All Ex-Officio Members and At-Large Members of the Board of Directors shall have the right to vote on all matters brought before the Board for a vote. All members of the Board of Directors shall comply with the Covenant of Responsibility, the Articles of Incorporation, and the Bylaws of the corporation, and the rules and regulations of the Board of Trustees of the Florida State University and the National Collegiate Athletic Association.

4.2 Ex-Officio Members. The following persons shall be the Ex-Officio Members of the Board of Directors, with the right to vote on all matters brought before the Board for a vote:

The Chairman of the Florida State University Board of Trustees or his or her designee;

The President of the Florida State University or his or her designee;
The Chairman of the Florida State University Athletic Board;

The Athletic Director of the Florida State University or his or her designee;

The Chairman of the Board of Directors of the Florida State University Foundation or his or her designee;

The Chairman of the Florida State University Alumni Association or his or her designee;

A Member active in the support of women’s athletics at the Florida State University, who shall be subject to the term of office provisions of Section 4.3 below;

The President of the Florida State University Varsity Club or his or her designee;

The current Chairman of the Board of Directors of Seminole Boosters, Inc.;

The current Vice-Chairman of the Board of Directors of Seminole Boosters, Inc.;

The two immediate past Chairmen of the Board of Directors of Seminole Boosters, Inc.;

The President of the Student Seminole Boosters or his or her designee; and

The President of the Inner Council or his or her designee.

4.3 Classes and Terms of Office of At-Large Members. The At-Large Members of the Board of Directors consist of three classes. At the time of its election, each class consists of approximately one-third of the total number of At-Large Members, and the term of office of one class of the At-Large Members expires at the end of each fiscal year. Unless elected to fill an unexpired term (in which case he or she shall serve for the remainder of the unexpired term), each At-Large Member of the Board of Directors shall be elected by the Board for a term of three (3) years, commencing on the first day of the fiscal year of the corporation immediately following the annual meeting of the Board of Directors at which he or
she is elected. Each director shall hold office for the term to which he or she is elected and until his or her successor has been elected or appointed and qualified or until his or her earlier resignation, removal from office, or death. No person, other than Ex-Officio Members whose terms are not subject to this Section 4.3, shall serve on the Board of Directors for more than two (2) consecutive terms. After an At-Large Member has been off of the Board of Directors for two (2) consecutive years, he or she is then eligible to fill the unexpired term of a vacant seat or for re-election to the Board of Directors for a full term.

4.4 **Election of At-Large Members.** Each fiscal year, at the annual meeting of the Board of Directors in that fiscal year, the Board of Directors shall elect At-Large Members to fill the seats of At-Large Members whose terms are expiring at the end of that fiscal year and to fill any vacancies then existing on the Board of Directors.

4.5 **Resignation of Directors.** A director may resign at any time by delivering written notice to the Board of Directors, the Chairman of the Board, or the President. A resignation is effective when the notice is delivered unless the notice specifies a later effective date. If a resignation is made effective at a later date, the Board of Directors may fill the pending vacancy before the effective date if the Board of Directors provides that the successor does not take office until the effective date.

4.6 **Removal of Directors.** An At-Large Member of the Board of Directors may be removed from office, with or without cause, by a vote of two-thirds of the
directors present at an annual or regular meeting of the Board of Directors at which a quorum is present, or at a special meeting of the Board of Directors, called for the purpose of removing one or more directors, at which a quorum is present. At any meeting at which a director is removed, the Board of Directors may fill the vacancy created by the removal. Any director removed from office shall turn over to the corporation, within 72 hours, any and all records of the corporation in the director's possession.

4.7 **Vacancies.** If the seat of an At-Large Member on the Board of Directors is vacant for any reason (including a death, resignation, or removal of an At-Large Member or an increase in the number of At-Large Members), the vacancy may be filled with a candidate who has been approved by the President of the University and elected by the affirmative vote of the majority of the remaining directors, even though the remaining directors constitute less than a quorum. An At-Large Member elected to fill a vacancy shall be elected for the unexpired term of his or her predecessor in office.

4.8 **Past Chairmen of the Board of Directors.** Each past-Chairman of the Board of Directors is a "Chair Emeritus" of the Board of Directors. Each of the immediate two past Chairmen of the Board of Directors is an Ex-Officio Member of the Board of Directors. Following the expiration of his or her term of office as an Ex-Officio Member, each Chair Emeritus shall be an Honorary Board Member for life. Each such Honorary Board Member is invited to attend and participate in all meetings of the Board of Directors but shall not be a member of the Board of Directors.
Directors and shall not have the right to vote on any matters coming before the Board. However, each Chair Emeritus who no longer serves as an Ex-Officio Member and who is otherwise eligible for election to the Board of Directors may be elected as an At-Large Member of the Board of Directors in accordance with the applicable provisions of these Bylaws, and any such At-Large Member shall have all the rights and authority of an At-Large Member of the Board, including the right to vote on all matters coming before the Board.

ARTICLE 5
MEETINGS OF THE BOARD OF DIRECTORS

5.1 Annual Meetings. The Board of Directors shall hold an annual meeting, at least sixty (60) days before the end of each fiscal year of the corporation, at a date, time, and place determined by the Chairman of the Board, for the purpose of electing At-Large Members of the Board, members of the Executive Committee, and officers of the corporation to fill the seats of those At-Large Members, Executive Committee members, and officers whose terms of office will expire at the end of that fiscal year and to fill any vacancies, and for the purpose of conducting any other business that may come before the Board.

5.2 Regular Meetings. The Board of Directors may, by resolution, establish a schedule of additional regular meetings of the Board of Directors. The corporation need not provide notice to the members of the Board of Directors of any such regular meeting of the Board of Directors if the date, time, and place of the regular meetings have been determined by resolution of the Board of Directors establishing the schedule of such meetings.
5.3 **Special Meetings.** Special meetings of the Board of Directors may be called by the President or the Chairman of the Board of Directors or upon written request of ten (10) members of the Board of Directors.

5.4 **Notice of Meetings.** Notice of the time and place of special meetings of the Board of Directors shall be given in accordance with Article 9 of these Bylaws.

5.5 **Action by Directors Without a Meeting.** Any action required or permitted to be taken at any meeting of the Board of Directors may be taken without a meeting if a written consent describing the action is signed by all members of the Board of Directors and filed with the minutes of the proceedings of the Board. Such consent shall have the same force and effect as a unanimous vote of the Board of Directors. An action taken under this section is effective when the last director signs the consent, unless the consent specifies a different effective date.

5.6 **Remote Participation.** The Chairman of the Board of Directors may permit any or all directors to participate in an annual, regular or special meeting of the Board of Directors by, or conduct the special meeting through the use of, telephone conference call, video conference, or any other means of electronic communication, by which all directors participating may simultaneously hear each other during the meeting. A director participating in a special meeting by this means is deemed to be present in person at the meeting. Directors are not permitted to participate in, or to vote on any matters presented at, any annual or regular meeting of the Board of Directors by telephone conference call, video conference, or other means of remote communication, and must be present in person.
in order to participate in and vote at annual and regular meetings. Remote
participants who can hear, and be heard by, all other participants, and who have
access to any materials distributed to participants shall be considered “present” for
purposes described in these Bylaws.

5.7 Adjournments. A meeting of the Board of Directors, whether or not a
quorum is present, may be adjourned by a majority of the Board members present,
to reconvene at a specific time and place. Written notice of the time and place of
any such reconvened meeting shall be given in the manner specified in Article 9 of
these Bylaws. At any such reconvened meeting at which a quorum is present, any
business may be transacted which could have been transacted at the adjourned
meeting.

5.8 Quorum and Voting. One-third (1/3) of the total number of members of
the Board of Directors, as determined by the Board of Directors in accordance with
Section 4.1 of these Bylaws, constitutes a quorum of the full Board of Directors. An
action approved by a majority of the Board members present at a meeting of the
Board at which a quorum is present constitutes an act of the Board of Directors. A
majority vote consists of one vote more than one-half (1/2) of the number of votes
represented by the directors who are present at a meeting at which a quorum is
present.

5.9 Voting Procedures. All Ex-Officio Members and At-Large Members of
the Board of Directors have the right to vote on all matters coming before the
Board. A Director must be present at the meeting in order to cast a vote on any
matter brought before the meeting. No proxies or absentee ballots will be allowed or counted at any time.

5.10 Presumption of Assent. A director who is present at a meeting of the Board of Directors when corporate action is taken is deemed to have assented to the action taken unless: (a) the director objects, at the beginning of the meeting or promptly upon the director's arrival, to holding the meeting or transacting specified affairs at the meeting due to a failure to give a required notice of the meeting; or (b) the director votes against or abstains from the action taken.

ARTICLE 6
COMMITTEES

6.1 Standing and Special Committees. The Board of Directors, by resolution adopted by a majority of the full Board of Directors, may designate standing committees and special committees in accordance with this Article 6, each of which shall have two or more members who serve at the pleasure of the Board of Directors. The standing committees of the Board of Directors shall consist of an Executive Committee, a Nominating Committee, an Endowed Scholarship Committee, and a Finance & Budget Committee. In addition, from time to time the Chairman of the Board of Directors may appoint such special or advisory committees, including (but not limited to) a Strategic Planning Committee and Bylaws Committee, as the Chairman of the Board of Directors determines to be beneficial for the purpose of advising or assisting the Board of Directors. From time to time, the Board of Directors may adopt additional resolutions or policies governing the authority and responsibilities of any committee.
6.2 Executive Committee of Board of Directors.

(a) There shall be an Executive Committee of Board of Directors (the "Executive Committee"), consisting of no more than thirteen (13) members of the Board of Directors. The Board of Directors may delegate to the Executive Committee any of the Board’s powers, except that the Executive Committee shall have no power or authority (i) to fill vacancies on the Board of Directors or any committee thereof, (ii) to adopt, amend, or repeal the Bylaws, (iii) to establish corporate policy without the approval of the Board, or (iv) to change the corporation's fiscal year without the approval of the Board. The function and purpose of the Executive Committee shall be to implement the policies and directives of the corporation, as established by the Board of Directors, and the Executive Committee shall have the authority to exercise such powers subject to the supervision and control of the Board.

(b) The Executive Committee shall consist of the Chairman of the Board, Vice-Chairman, Secretary, and Treasurer of the corporation, the President of Florida State University or his or her designee, the Chairman of the Florida State University Board of Trustees or his or her designee, the Athletic Director of Florida State University or his or her designee, the two (2) Immediate Past Chairmen of the corporation, and three At-Large Members of the Board of Directors who are elected to the Executive Committee by the Board of Directors. If two (2) or more of the
Executive Committee members, other than those who are At-Large Members of the Board of Directors, reside in Leon County, Florida or within 100 miles of boundary of Leon County, Florida, then at least two (2) of the three (3) At-Large Members elected to the Executive Committee must be elected from among At-Large Members who reside more than 100 miles outside the boundaries of Leon County, Florida. The Board of Directors shall elect the three At-Large Members to the Executive Committee annually, at the Board’s annual meeting. A member of the Executive Committee who resigns or is removed from the Board of Directors shall cease to be a member of the Executive Committee. The President of the corporation shall attend all Executive Committee meetings but shall not be a member of the Executive Committee nor be entitled to vote on matters being voted upon by the Executive Committee.

(c) The Executive Committee shall not make or authorize any unbudgeted expenditure without the approval of the Board of Directors at an annual, regular, or special meeting, except that the Executive Committee may make unbudgeted "urgent" expenditures if each of the following conditions is satisfied: (1) the full Board of Directors is given written notice (which may be given by mail, personal delivery, fax, e-mail, or other effective means) at least three days prior to the meeting of the Executive Committee at which the expenditure is approved, describing the proposed expenditure in reasonable detail, specifying why immediate approval of the expenditure is necessary, and inviting each member of the Board of Directors to attend the meeting of the Executive Committee at which the
expenditure will be considered; and (2) the Executive Committee, by a vote of a majority of the members of the Executive Committee in attendance at a meeting for which such notice was given and at which a quorum of the Executive Committee is present, determines that the expenditure is urgent and approves the expenditure. The Executive Committee is not authorized to approve an unbudgeted "urgent" expenditure by unanimous written consent, without a meeting, unless the Board of Directors has given the Executive Committee authority to do so with respect to a specific type or amount of expenditure. Depositing a letter in the mail, addressed to a director at his or her last known address as shown by the records of the corporation, shall constitute the giving of notice for purposes of this Section 6.2(c).

6.3 Nominating Committee and Election Procedures.

(a) The Nominating Committee shall consist of the Chairman of the Board of Directors, who shall serve as Chairman of the Nominating Committee, the Vice-Chairman, the Immediate Past Chairman, the President of Florida State University or his or her designee, and seven (7) Board members appointed by the Chairman from each of the following areas: (1) Big Bend, (2) Northwest Florida, (3) Northeast Florida, (4) Central Florida, (5) Suncoast, (6) Gold Coast, and (7) Out-of-State. If, after reasonable efforts, the Chairman is unable to make an appointment from any of these areas, the Chairman may make an appointment at large.

(b) No Member of the Nominating Committee, except the President of Florida State University or his or her designee, shall be eligible to serve on the Nominating Committee for more than two (2) consecutive years, except that a
director who serves during consecutive years as the Vice-Chairman, Chairman of the Board, and Immediate Past Chairman may continue to serve on the Nominating Committee for as long as he or she serves in those capacities. Upon the expiration of the above-stated maximum term, a member of the Nominating Committee shall be eligible to serve again on the Nominating Committee beginning one (1) year after the expiration of that member's prior term of service on the Nominating Committee.

(c) A member of the Nominating Committee shall not be eligible for nomination as a candidate for election to the Board of Directors, the Executive Committee, or any office, and a member of the Nominating Committee shall not resign from the Nominating Committee to become a candidate for election.

(d) The Nominating Committee shall meet at least once each fiscal year for the purpose of nominating candidates to fill the seats of At-Large Members on the Board of Directors and Executive Committee whose terms will expire at the end of that fiscal year and to nominate candidates to succeed the officers whose terms will expire at the end of that fiscal year. The Nominating Committee shall not nominate a candidate for the office of Chairman of the Board of Directors, and the Vice-Chairman shall automatically become the Chairman of the Board of Directors beginning on the first day of the next fiscal year, unless the Board of Directors, by a vote of two-thirds (2/3) of the members of the Board who are present at a meeting of the Board at which a quorum is present, directs the Nominating Committee to submit a nominee other than the Vice-Chairman for the office of Chairman of the Board of Directors.
(e) Members of the Board of Directors and the President of Florida State University will be given an opportunity to suggest candidates for nomination for all open positions. A member of the Board of Directors may suggest candidates by providing the President of the corporation with the names of suggested candidates and their biographical information prior to the President's submission of a list of possible candidates to the President of Florida State University pursuant to the following sentence. The President of the corporation shall review the list of possible candidates, and the candidates’ biographical information, with the President of Florida State University to obtain his or her approval of possible nominees before a slate of nominees is determined by the Nominating Committee.

(f) No less than three (3) weeks prior to each annual meeting of the Board of Directors, the Nominating Committee shall prepare and deliver to all current Board members a slate of the Nominating Committee's nominees of new At-Large Members of the Board of Directors, new members of the Executive Committee, and new officers to succeed those officers whose terms of office are expiring. The slate shall specify the cities of residence and biographical information for each candidate. The Nominating Committee also may propose alternate nominees who have been approved by the President of Florida State University and who may be elected to serve if a nominee of the Nominating Committee declines to serve. No nominations from the floor shall be allowed unless the candidate has been approved by the President of Florida State University.
(g) The Nomination Committee's nominees of new At-Large Members, new members of the Executive Committee, and new officers shall be presented for election at the annual meeting of the Board of Directors. All At-Large Members and Ex-Officio Members of the Board of Directors attending the annual meeting in person have the right to vote in all such elections. The Chairman of the Board of Directors may conduct the election of new At-Large Members, new members of the Executive Committee, and new officers by a voice vote, written ballot, show of hands, or other reasonable means, but if any director requests a vote by ballot, the election shall be held by ballot. If an election is held by ballot, all ballots shall be submitted and forthwith tallied at the annual meeting by the Secretary and Treasurer of the corporation. The ballots shall be available for review by any Board member.

(h) In order to be elected, a candidate must receive a majority of votes cast by the members of the Board of Directors present and voting at a meeting at which a quorum of the Board of Directors is present. If more than one candidate for any position receives a majority of the votes cast, then the candidate receiving the most votes shall be elected. If the number of nominees for election as At-Large Members or members of the Executive Committee who receive a majority vote exceeds the number of positions to be filled, the nominees receiving the greatest number of votes and who are sufficient to fill the open positions shall be elected.

6.4 Other Standing Committees. Other standing committees of the Board of Directors shall consist of the following ("Other Standing Committees"): 

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(a) Finance & Budget Committee. The Finance & Budget Committee shall review periodically the income and the expenditures and the next year’s budget of the corporation. The Finance & Budget Committee shall serve as the Compensation Committee. The Treasurer shall be the Chairman of the Finance & Budget Committee.

(b) Endowed Scholarship Committee. The Endowed Scholarship Committee shall consist of not less than three (3) nor more than twelve (12) persons with staggered terms of three (3) years. This committee shall have as its primary obligation the acquisition, maintenance, investment, and distribution of funds and other property donated to the corporation for the endowed scholarship program. The committee shall have the power to establish rules by which to carry out its responsibilities, subject to the approval of the Board of Directors.

(c) Committee Membership. The Chairman and Vice-Chairman of the Board shall be members of all Other Standing Committees. The Chairman shall appoint all other members of the Other Standing Committees, each of whom shall serve at the pleasure of the Chairman.

(d) Authority. Each Other Standing Committee shall have and may exercise the authority delegated to it by the Board of Directors, except that no such committee shall have the authority (i) to fill vacancies on the Board of Directors or any committee thereof, (ii) to adopt, amend, or repeal the By-Laws, or (iii) to establish corporate policy without the approval of the Board.

6.5 Special Committees.
(a) **Bylaws Committee.** The Chairman of the Board of Directors may appoint a special Bylaws Committee to review the Bylaws and changes to laws and regulations applicable to the governance of the corporation and to make recommendations to the Board of Directors concerning amendments of the Bylaws to ensure compliance with all applicable laws and regulations. If appointed, the Bylaws Committee shall consist of the corporation’s Attorney and at least two (2) members or former members of the Board of Directors appointed by the Chairman of the Board of Directors, who shall serve at the pleasure of the Chairman.

(b) **Strategic Planning Committee.** The Chairman of the Board of Directors may appoint a special Strategic Planning Committee to develop and recommend to the Board of Directors a written strategic plan designed to further the accomplishment of the corporation’s purpose and mission, and to periodically review and recommend updates and revisions of the strategic plan. If appointed, the Strategic Planning Committee shall consist of the Chairman of the Board of Directors, the Vice-Chairman, and at least three (3) other members of the Board of Directors appointed by the Chairman, who shall serve at the pleasure of the Chairman.

(c) **Other Special Committees.** The Board of Directors or Chairman of the Board may appoint such other special committees as the Board of Directors or Chairman of the Board determines to be advisable, each of which shall serve at the pleasure of the Board of Directors or Chairman of the Board. No such committee shall have the authority (i) to fill vacancies on the Board of Directors or any
committee thereof, (ii) to adopt, amend, or repeal the Bylaws, or (iii) to establish corporate policy without the approval of the Board of Directors.

6.6 Committee Meetings.

(a) Any committee may meet at such times as may be designated by the Chairman of the Board of Directors or the Chairman of the committee, or upon the written request of the President or any two (2) members of the committee. The committee may meet by telephone conference call or video conference, provided that each member of the committee participating in the call or video conference can hear each other such member at the same time.

(b) The person calling a meeting of any committee shall give notice of the committee meetings in accordance with Article 9 of these Bylaws.

(c) A majority of the members of a committee then in office (excluding any vacancies on the committee) constitutes a quorum of the full committee. An action approved by a majority of the committee members present at a meeting of the committee at which a quorum is present constitutes an act of the committee. A majority vote consists of one vote more than one-half (1/2) of the votes cast at a meeting of the committee at which a quorum is present.

(d) Except with respect to actions taken by unanimous written consent of a committee in accordance with Section 6.6(e), a member of a committee must be present at the meeting of the committee at which an action is taken in
order to cast a vote on that action. No proxies or absentee ballots will be allowed or counted at any time.

(e) Except as provided in Section 6.2(c), any action required or permitted to be taken at any meeting of a committee may be taken without a meeting if a written consent thereto is signed by all members of the committee and filed with the minutes of the proceedings of the committee. Such consent shall have the same force and effect as a unanimous vote of the committee.

(f) A meeting of a committee, whether or not a quorum is present, may be adjourned by a majority of the committee members present to reconvene at a specific time and place. It shall not be necessary to give notice of the reconvened meeting or of the business to be transacted, other than by announcement at the meeting which was adjourned. At any such reconvened meeting at which a quorum is present, any business may be transacted which could have been transacted at the adjourned meeting.

6.7 Reports. The Executive Committee shall prepare and submit reports to the Board of Directors concerning the actions of the Executive Committee. All other committees shall prepare and submit reports to the Executive Committee concerning the meetings and actions of such committees. The Executive Committee shall review such reports and submit them to the Board of Directors.

ARTICLE 7
OFFICERS OF THE CORPORATION

7.1 Officers. The officers of the corporation shall consist of a Chairman of the Board of Directors, a Vice-Chairman, a President, a Secretary, and a Treasurer.
The officers shall be elected by, and shall serve at the pleasure of, the Board of Directors.

7.2 Chairman of the Board of Directors. The Chairman of the Board of Directors shall be the presiding officer of the corporation and shall have general supervision of the business of the corporation. He or she shall preside at all meetings of the Board of Directors and Executive Committee and shall see that all orders and resolutions of the Board of Directors are carried into effect. The Chairman shall perform such other duties as may from time to time be delegated to him or her by the Board of Directors.

7.3 Vice-Chairman. The Vice-Chairman shall serve in the absence of the Chairman. Subject to Section 6.3(d) of these Bylaws, the Vice-Chairman shall be the Chairman-elect of the Board of Directors.

7.4 President. The President shall be the person primarily responsible for the daily operation of the business of the corporation. The President shall be the chief executive officer of the corporation, subject to direction of the President of the Florida State University and the Board of Directors. He or she shall report directly to the Chairman of the Board of Directors and to the President of the Florida State University (or a designee reporting directly to the President) on issues of development and corporate operations and shall be responsible for putting into effect the orders and resolutions of the Board of Directors and Executive Committee. The President shall attend each meeting of the Board of Directors and Executive Committee and shall appoint the Secretary or another person attending
the meeting to record minutes of each meeting. The President shall distribute the minutes of each meeting of the Board of Directors and each meeting of the Executive Committee to the members of the Board of Directors and Executive Committee at least five (5) days prior to the next meeting of the Board of Directors or Executive Committee. The selection of the President shall be based upon the recommendation of the President of the Florida State University.

7.5 Secretary. The Secretary shall oversee the recording of accurate minutes of the meetings of the Board of Directors and Executive Committee, sign such minutes, and make any corrections of such minutes that are approved by the Board of Directors or Executive Committee at its next meeting. The Secretary shall be the custodian of the corporate minute books, records, contracts, and other documents. The Secretary may affix the corporate seal to any lawfully executed documents requiring the seal and shall sign such instruments as may require the Secretary's signature. The Secretary shall perform whatever additional duties and have whatever additional powers the Board of Directors may from time to time assign to him or her.

7.6 Treasurer. The Treasurer shall oversee the financial affairs of the corporation, chair the Finance & Budget Committee, and review the corporation's financial statements and audit reports. Additionally, the Treasurer shall periodically report to the Board of Directors on the financial condition of the corporation. The Treasurer shall perform such additional duties as may be assigned to him or her from time to time by the Board of Directors.
7.7 **Terms of Office.** The term of the Chairman of the Board of Directors shall be the fiscal year following his or her term as Vice-Chairman or the term for which he or she otherwise is elected and shall continue until his or her successor is elected and qualified, or until his or her earlier death, resignation, or removal. The term of the Chairman of the Board may be extended through the next fiscal year if, prior to the commencement of the next fiscal year, the Vice-Chairman dies, resigns, or is removed from office and the Board of Directors does not fill the vacancy or elect another person to serve as Chairman of the Board. The Chairman of the Board of Directors shall not be eligible for election as Chairman of the Board, Vice-Chairman, Secretary, or Treasurer for a period of two (2) years following the end of his or her term as Chairman (as such term may be extended in accordance with the preceding sentence). The Vice-Chairman, President, Secretary, and Treasurer shall serve for such terms as the Board of Directors may determine or until his or her earlier death, resignation, or removal.

7.8 **Removal.** The Board of Directors, by unanimous written consent or by the affirmative vote of two-thirds (2/3) of the directors present at a meeting of the Board of Directors at which a quorum is present, may remove any officer, with or without cause, and elect a successor to the removed officer. The election of a successor President of the corporation requires approval of the President of the Florida State University.

**ARTICLE 8**

REQUIREMENTS FOR THE VALIDITY OF CORPORATE ACTION; FISCAL AND ACCOUNTING MATTERS; CORPORATE RECORDS
8.1 Execution of Documents.

(a) The Chairman of the Board of Directors, the Vice-Chairman of the Board of Directors, the President, the Secretary, and the Treasurer of the corporation are authorized to execute, on behalf of the corporation, deeds, notes, bonds, contracts, and other documents and instruments approved by the Board of Directors or the Executive Committee pursuant to the Bylaws. The Board of Directors or the Executive Committee may designate other persons ("Other Authorized Signatories") to execute deeds, notes, bonds, contracts, and other documents and instruments on behalf of the corporation, but such designation must be in writing and duly approved by the Board of Directors or Executive Committee. The signature of any one (1) such officer or Other Authorized Signatory of the corporation is sufficient for the execution of any deed, note, bond, contract, or other document or instrument that involves an expenditure or the creation of a liability of the corporation of less than $50,000 or a disposition of assets of the corporation having a fair market value of less than $50,000. Approval by the Board of Directors or the Executive Committee and the signature of any two (2) such officers or Other Authorized Signatories of the corporation are required for the execution of any deed, note, bond, contract, or other document or instrument that involves an expenditure or the creation of a liability of the corporation of more than $50,000 or a disposition of assets of the corporation having a fair market value of more than $50,000.

(b) Notwithstanding the foregoing paragraph (a), the President of the corporation has the following authority:
(i) The President of the corporation, acting individually, may execute any deed, note, bond, contract, or other document or instrument that is approved by the Board of Directors or the Executive Committee, regardless of the amount involved, including contracts and other documents that are executed as being within the yearly expenditure budget of the corporation; and

(ii) The President and any one other officer of the corporation, acting together and without further approval of the Board of Directors or the Executive Committee, are authorized to execute such documents and to take such further actions as are necessary to cause the corporation to sell any real property that has been donated to the corporation, provided that the corporation has obtained a current appraisal of the property by a qualified appraiser and either (1) the price at which the property is sold equals or exceeds the appraised value, or (2) the appraised value of the property is less than $150,000 (in which case the President and such other officer may sell the property at such price as they, in their judgment, determine to be in the best interests of the corporation). If the appraised value of any such property equals or exceeds $150,000, the President (and any such other officer) of the corporation is not authorized to complete a sale of the property at a price that is less than the appraised value unless the Board of Directors or the Executive Committee approves the sale.

8.2 Fiscal and Accounting Requirements.
(a) Gifts and bequests made for a specific purpose must be rigorously administered by the corporation to insure that such funds are used solely for the purposes prescribed by the donor.

(b) By May 1 of each year (or as soon thereafter as practicable if delivery by May 1 is not practicable), the corporation shall submit to the President of Florida State University, for his or her review, approval, and submission and recommendation to the Florida State University Board of Trustees, an annual operating budget for the next fiscal year that has been approved by the corporation's Board of Directors. Each such budget shall include any budgeted expenditures for: (i) construction of physical facilities, (ii) salary supplements, compensation, and benefits to be paid or provided to the President, faculty, or staff of the Florida State University not employed by the corporation, to the extent that they are to be paid or provided with assets of the corporation; and (iii) salary supplements, compensation, and benefits to be provided by the corporation directly to employees of the corporation.

(c) Copies of annual financial statements of the corporation, including a comparative statement of actual and budgeted expenditures, shall be filed with the President of the Florida State University for review and approval. The corporation’s anticipated expenditures will be submitted to the President of the Florida State University (or his or her designee) for review and approval on a quarterly basis.
(d) The corporation shall have an annual audit of its financial accounts, including a statement of actual and budgeted expenditures conducted by an independent certified public accountant. Copies of these reports shall be submitted to the President of the Florida State University, for submission to the Auditor General of the State of Florida and the Board of Governors of the state university system, no later than one hundred twenty (120) days after the end of the fiscal year. The identity of donors desiring anonymity shall be protected. The independent certified public accountant shall be issued an engagement letter which provides that the accountant will render his or her opinion on the financial statement and result of the operation.

(e) No action of the corporation involving the use of the name or resources of the Florida State University shall be effective until approved in writing by the President of the Florida State University or his or her designee.

(f) Unless otherwise required by applicable law, the corporation’s fiscal year shall begin on July 1 of each year or on such other date as the Board of Directors may determine.

8.3 Corporate Records. The corporation shall maintain the following records in written form or in another form capable of conversion into written form within a reasonable time: (a) a record of its members in a form that permits preparation of a list of the names and addresses of all members in alphabetical order; (b) minutes of all meetings of the Board of Directors and each committee of the Board of Directors and records of all actions taken by the Board of Directors or
any such committee without a meeting; (c) accurate accounting records; (d) a list of the names of its current directors and officers and their business street addresses (or the home address for a director or officer if he or she has no business street addresses); and (e) the corporation's most recent annual report filed with the Florida Secretary of State.

**ARTICLE 9**

**NOTICE OF MEETINGS**

9.1 **Notice Requirements.** Notice of the date, time, and place of special meetings of the Board of Directors (and the applicable telephone number for a meeting by conference call) shall be given, at least five (5) days before the meeting, to each director by personal delivery, facsimile transmission, electronic mail, or United States mail. Notice of the time and place of any meetings of a committee of the Board of Directors (and the applicable telephone number for a meeting by conference call) shall be given, at least three (3) days before the meeting, to each committee member by personal delivery, facsimile transmission, electronic mail, or United States mail. Except as otherwise expressly required by these Bylaws, neither the business to be transacted at, nor the purpose of, any annual, regular, or special meeting of the Board of Directors or any meeting of a committee need be specified in the notice of that meeting or in any waiver of notice. Depositing a letter in the mail, addressed to a director or committee member at his or her last known address as shown by the records of the corporation, shall be deemed sufficient for the giving of notice. In addition, on a section of the corporation's website maintained for the purpose of providing public notices of meetings of the Board of
Directors and committees, the corporation shall provide reasonable notice of the date, time, and place of the next scheduled meetings of the Board of Directors and each committee, together with an agenda of the meeting if an agenda has been prepared.

9.2 Effectiveness of Notice. Written notice of any meeting of the Board of Directors or any committee of the Board, if such notice is in a comprehensible form, is effective upon the earliest of the following: (a) when received by the director or committee member; (b) when mailed, if mailed postpaid and correctly addressed to the director's or committee member's address shown in the corporation's records; (c) when actually transmitted by facsimile telecommunication, if correctly directed to a number at which the director or committee member has consented to receive notice; (d) when actually transmitted by electronic mail, if correctly directed to an electronic mail address at which the director or committee member has consented to receive notice; (e) when posted on an Internet website that the director or committee member has consented to consult, upon the later of such correct posting or the giving of a separate notice to the director or committee member that the notice has been posted; or (f) when correctly transmitted to the director or committee member, if by any other form of electronic transmission consented to by the director or committee member to whom notice is given. Consent by a director or committee member to receive notice by electronic transmission is revocable by the director or committee member by written notice to the corporation.
9.3 **Waiver of Notice.** Notice of a meeting of the Board of Directors or any committee need not be given to any director or committee member who signs a waiver of notice before, during, or after the meeting. Attendance of a director or committee member at a meeting constitutes a waiver of notice of that meeting and waiver of all objections to the time and place of the meeting, and the manner in which it was called or convened, except when the director or committee member attends the meeting for the express purpose of objecting to the transaction of business because the meeting is not lawfully called or convened.

**ARTICLE 10**

**LIABILITY AND INDEMNIFICATION**

10.1 **Liability of Directors.** A director of the corporation shall not be personally liable for any debts, obligations, or liabilities of the corporation, except to the extent that the corporation is liable for fraudulent acts committed by that director.

10.2 **Indemnification.** Any person (or any such person’s heirs, executors, or administrators) who is made or threatened to be made a party to any threatened, pending, or completed action or proceeding, whether civil, criminal, administrative, or investigative, because the person is or was a director or officer of the corporation or serves or served any other corporation or enterprise in any capacity at the request of the corporation, shall be indemnified by the corporation, and the corporation may advance their related expenses, to the full extent permitted by law. The foregoing right of indemnification or reimbursement shall not be exclusive of
other rights to which the person (or the person's heirs, executors, or administrators) may be entitled.

10.3 **Insurance.** Upon approval by the Board of Directors, the corporation may purchase insurance for the purpose of indemnifying its directors and officers.

10.4 **Prohibition Against Self-Dealing.** Notwithstanding anything contained in this Article 10 to the contrary, the corporation shall not indemnify any person otherwise entitled to such indemnification if such indemnification would constitute “self-dealing” as defined in Section 4941 of the Internal Revenue Code of 1986, as amended.

**ARTICLE 11**

**AMENDMENTS**

11.1 These Bylaws may be amended, altered, or repealed (a) with the approval of two-thirds of the members of the Board of Directors who are present and voting at any annual or regular meeting of the Board at which a quorum is present or at any special meeting of the Board called in accordance with the Bylaws for the purpose of considering the amendment and at which a quorum is present, or (b) by the unanimous, written consent of the full Board of Directors, effected in accordance with Section 617.0821, Florida Statutes, as it may be amended, or any successor statute governing actions by the board of directors of a Florida not-for-profit corporation without a meeting. Written notice of any meeting at which an amendment, alteration, or repeal of these Bylaws or the adoption of new Bylaws is to be considered shall be given at least five (5) days before the meeting and shall
specify in general the nature of the amendments or new Bylaws to be considered. Any amendment of the Bylaws requires the approval of the Florida State University Board of Trustees before the amendment becomes effective. Any amendment of the Bylaws approved by the Board of Directors shall be submitted to the President of the Florida State University for submission to the Florida State University Board of Trustees for its approval. The corporation shall comply with all rules of the Florida State University Board of Trustees and the Florida State University applying to Direct Support Organizations, as defined in Section 1004.28, Florida Statutes.
Proposal to Name the FSU College of Medicine Auditorium

Proposal: This is to propose that the FSU College of Medicine Auditorium be named the “Durell Peaden, Jr., M.D., J.D. Auditorium” to be referred to hereinafter as the “Peaden Auditorium”

Background: Senator Durell Peaden (1945-2015) was the patriarch of the FSU College of Medicine. He received a bachelor’s degree in Chemistry from Tulane, his medical degree from Universidad Autónoma de Guadalajara and his juris doctorate from Faulkner University. He was a member of the House of Representatives from 1995 through 2000, and the Florida Senate from 2001 through 2010.

Dr. Peaden was interested in expanding access to health care, especially for rural and underserved populations. In the House of Representatives, he was chair of the Health & Family Policy Council, and later in the Senate, he served as chair of the Health and Human Services Appropriations Subcommittee.

In 1997, on a long drive on I-75, Dr. Peaden brainstormed with friends to envision an FSU College of Medicine that would serve Florida’s growing geriatric population and rural areas. Dr. Peaden wondered aloud if FSU’s Program in Medical Sciences (PIMS) couldn't be turned into a four-year program that specialized in geriatric medicine and was also positioned to place physicians in rural communities. Afterward, Dr. Peaden met Senior Associate Dean Myra Hurt, then director of Florida State’s Program in Medical Sciences, FSU President Sandy D’Alemberte, and others and adopted Dr. Hurt’s plan for a community-based medical school in several Florida locations that would be student-focused and patient-centered, emphasizing primary care and caring for the underserved.

Dr. Peaden sponsored the legislation and funding creating the FSU College of Medicine. With the support of then-Speaker John Thrasher and then-Senator Jim King and others, the first allopathic medical school in 20 years was established in 2000. Over the years, Dr. Peaden was closely connected to the medical school. He and his wife Nancy, routinely attended white coat ceremonies, graduation activities, alumni reunions, and other events at the College of Medicine.

Justification: Thanks to the efforts of Dr. Peaden and others, nearly 300 students from 38 Panhandle communities have attended, or are attending, the FSU College of Medicine. Dozens of alumni are practicing medicine in the Panhandle — including one in Dr. Peaden’s hometown. In addition to his time, support and advocacy for the College of Medicine, Dr. Peaden gave nearly $300,000 and there is a Durell Peaden Scholarship Fund for medical students.

Recommendation: The FSU College of Medicine recommends that the focal point of the College buildings—the auditorium—should be named for Senator Durrell Peaden to enshrine his legacy in perpetuity.
MEMORANDUM

To: Thomas W. Jennings  
Vice President of University Advancement and President, FSU Foundation, Inc.

From: Jeanne B. Curtin  
Assistant Dean for Development, Florida State University College of Law

Date: January 7, 2016

Re: Naming of the Summer for Undergraduates Program at the College of Law - Confidential

The Summer for Undergraduates Program was established at the Florida State University College of Law in 1992. It brings to campus undergraduate students from throughout the country for a month-long immersion into legal study. The largest and oldest of its kind, the primary goal of the program is to acquaint students with the study of law and to assist them in acquiring skills that will benefit their undergraduate and future law school studies.

Thanks to the support and generosity of Florida State Law alumnus Wayne Hogan ('72), President of Terrell Hogan, and his wife, Patricia, the Summer for Undergraduates Program has a financially secure future. In 2000, the Hogans designated part of a $2 million gift to the law school to endow the program. Their 2003 gift of an additional $1 million allows the law school to permanently maintain the size of the program at approximately 60 students each year.

Dean Weidner has been an instrumental force in the success of the program, which is a national model for other law schools. Wayne and Pat would like to surprise Don and name the program in honor of him to honor and thank him for his support of the program and for his years of leadership and service as Dean of the law school.

The Hogans would like to name the program the Donald J. Weidner Summer for Undergraduates Program. The Program was never named in honor of anyone. This is a unique program at the law school.

Wayne and Pat want to surprise Don with the announcement. They would like to make the announcement at the Sunday, February 21st Board of Visitors meeting.
THE FLORIDA STATE UNIVERSITY
Office of Inspector General Services
Suite 407 Westcott Building
222 South Copeland Street
P. O. Box 3061390
Tallahassee, Florida 32306

Date: February 12, 2016
To: John Thrasher, President
    Ed Burr, Chairman, Board of Trustees
From: Sam M. McCall, Chief Audit Officer
Subject: Audit of Performance Based Funding Metrics and Data Integrity Certification Representation, Report No. AR16-04

In accordance with a letter from the Chair of the Board of Governors of the State University System of Florida, we have been directed by the Florida State University Board of Trustees to perform an audit of university processes and certifications related to the submission and certification of performance based funding data to the Board of Governors. The objectives of the audit were to:

(1) Review university processes which ensure the completeness, accuracy, and timeliness of data submission to the Board of Governors.

(2) Provide an objective basis of support for the President and Board of Trustees Chair to sign the representations included in the performance Based Funding – Data Integrity Certification that will be submitted to the Board of Trustees and filed with the Board of Governors by March 4, 2016.

Overall, we concluded that the university has adequate processes for collecting and reporting performance based funding data to the Board of Governors. In addition, we can provide an objective basis of support for the University's President and Board of Trustees Chair to sign the Performance Based Funding – Data Integrity Certification. We have one recommendation for improvement for which management has agreed to take appropriate action.

We would like to thank Florida State University and Board of Governors staff that assisted us in the performance and completion of this audit.

Cc: The Florida State University Board of Trustees
    Sally McRorie, Provost
    Rick Burnette, Data Administrator
    Kyle Clark, Vice President for Finance and Administration

Phone: (850) 644-6031 • FAX: (850) 644-2576 • www.lgs.fsu.edu
Performance Based Funding Data Integrity Certification

Name of University: ____________________________

Period Ending: ________________________________

INSTRUCTIONS: Please respond "Yes," "No" or "N/A" in the blocks below for each representation. Explain any "No" or "N/A" responses to ensure clarity of the representation and include copies of supporting documentation as attachment(s).

<table>
<thead>
<tr>
<th>Performance Based Funding Data Integrity Certification Representations</th>
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<tbody>
<tr>
<td><strong>Representations</strong></td>
</tr>
<tr>
<td>1. I am responsible for establishing and maintaining, and have</td>
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<tr>
<td>established and maintained, effective internal controls and monitoring</td>
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<tr>
<td>over my university’s collection and reporting of data submitted to</td>
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<td>the Board of Governors Office which will be used by the Board of</td>
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<td>Governors in Performance Based Funding decision-making.</td>
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<tr>
<td>2. These internal controls and monitoring activities include, but are</td>
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<td>not limited to, reliable processes, controls, and procedures designed</td>
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<td>to ensure that data required in reports filed with my Board of</td>
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<td>Trustees and the Board of Governors are recorded, processed,</td>
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<td>summarized and reported in a manner which ensures its accuracy and</td>
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<td>completeness.</td>
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<tr>
<td>3. In accordance with Board of Governors Regulation 1.001(3), my</td>
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<td>Board of Trustees has required that I maintain an effective</td>
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<td>information system to provide accurate, timely, and cost-effective</td>
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<td>information about the university, and shall require that all data</td>
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<td>and reporting requirements of the Board of Governors are met.</td>
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<tr>
<td>4. In accordance with Board of Governors Regulation 3.007, my</td>
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<tr>
<td>university shall provide accurate data to the Board of Governors</td>
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<td>Office.</td>
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## Performance Based Funding

### Data Integrity Certification

<table>
<thead>
<tr>
<th>Performance Based Funding Data Integrity Certification Representations</th>
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<tr>
<td>Representations</td>
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<tr>
<td>5. In accordance with Board of Governors Regulation 3.007, I have appointed a Data Administrator to certify and manage the submission of data to the Board of Governors Office.</td>
</tr>
<tr>
<td>6. In accordance with Board of Governors Regulation 3.007, I have tasked my Data Administrator to ensure the data file (prior to submission) is consistent with the criteria established by the Board of Governors Data Committee. The due diligence includes performing tests on the file using applications/processes provided by the Board of Governors Information Resource Management (IRM) office.</td>
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<tr>
<td>7. When critical errors have been identified, through the processes identified in item #6, a written explanation of the critical errors was included with the file submission.</td>
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<tr>
<td>8. In accordance with Board of Governors Regulation 3.007, my Data Administrator has submitted data files to the Board of Governors Office in accordance with the specified schedule.</td>
</tr>
<tr>
<td>9. In accordance with Board of Governors Regulation 3.007, my Data Administrator electronically certifies data submissions in the State University Data System by acknowledging the following statement, &quot;Ready to submit: Pressing <strong>Submit for Approval</strong> represents electronic certification of this data per Board of Governors Regulation 3.007.&quot;</td>
</tr>
<tr>
<td>10. I am responsible for taking timely and appropriate preventive / corrective actions for deficiencies noted through reviews, audits, and investigations.</td>
</tr>
<tr>
<td>11. I recognize that the Board’s Performance Based Funding initiative will drive university policy on a wide range of university operations - from admissions through graduation. I certify that university policy changes and decisions impacting this initiative have been made to bring the university's operations and practices in line with State</td>
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## Performance Based Funding

### Data Integrity Certification

<table>
<thead>
<tr>
<th>Performance Based Funding Data Integrity Certification Representations</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
<th>Comment / Reference</th>
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<tr>
<td>University System Strategic Plan goals and have not been made for the</td>
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<td>purposes of artificially inflating performance metrics.</td>
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</table>

I certify that all information provided as part of the Board of Governors Performance Based Funding Data Integrity Certification is true and correct to the best of my knowledge; and I understand that any unsubstantiated, false, misleading or withheld information relating to these statements render this certification void. My signature below acknowledges that I have read and understand these statements. I certify that this information will be reported to the board of trustees and the Board of Governors.

Certification: _____________________________ Date ____________________

President

I certify that this Board of Governors Performance Based Funding Data Integrity Certification has been approved by the university board of trustees and is true and correct to the best of my knowledge.

Certification: _____________________________ Date ____________________

Board of Trustees Chair
Performance-Based Funding Metrics
Data Integrity Certification Audit
Fiscal Year 2015-16
February 10, 2016

Summary
Overall, we concluded that the University has adequate processes for collecting and reporting Performance-Based Funding metrics data to the Board of Governors (BOG). In addition, we can provide an objective basis of support for the University’s President and Board of Trustees Chair to sign the Performance-Based Funding – Data Integrity Certification, which the BOG requested to be filed with it by March 4, 2016. We have one recommendation for improvement for which management has agreed to take appropriate actions.

Scope, Objectives, and Methodology
In his June 25, 2015, memorandum to University Boards of Trustees’ Chairs and Presidents, the Chair of the State University System (SUS) of Florida Board of Governors (BOG) directed the President of each University to complete a Performance-Based Funding (PBF) Data Integrity Certification affirmatively certifying each representation and/or providing an explanation as to why the representation cannot be made as written. These certifications and related explanations are to be provided to the BOG after being approved by each University’s Board of Trustees (BOT). According to the BOG Chair’s memo, each University’s Board of Trustees is to direct its University Chief Audit Executive to perform, or cause to have performed by an independent audit firm, an audit of the University’s processes that ensure the completeness, accuracy, and timeliness of data submissions, with an emphasis on data that supports Performance-Based Funding metrics. This is the second consecutive year the BOG has called for such an audit and certification.

The scope and objectives of the audit this year are to be set jointly between the Chair of the University’s Board of Trustees and the University’s Chief Audit Executive. The audit is to be performed in accordance with the current International Standards for the Professional Practice of Internal Auditing as published by The Institute of Internal Auditors, Inc.
The results of the audit are to be provided to the BOG after being accepted by the University’s Board of Trustees. The audit report is to include the University’s corrective action plan designed to correct any audit findings. The audit results must support the President’s certification. The completed Data Integrity Certification and audit report must be submitted to the BOG’s Office of Inspector General and Director of Compliance no later than March 4, 2016.¹

Florida State University has decided upon the following scope and objectives for the audit.

**Scope:**

The overall purpose of the audit is to report on the controls and processes established by the University to ensure the completeness, accuracy, and timeliness of data submissions to the BOG that support the University’s PBF metrics, and to provide an objective basis of support for the University’s President and Board of Trustees Chair to sign the representations included in the Performance-Based Funding – Data Integrity Certification, which will be submitted to the University’s Board of Trustees for approval, and filed with the BOG by March 4, 2016. This audit will include an evaluation of the key controls that support these processes as well as testing to support that the controls in place are effective. The focus of the audit is specifically on the controls surrounding the development and submission of data upon which the University’s 10 PBF metrics are based, as outlined and approved by the BOG for 2015-16. Those metrics include:

1. Percent of Bachelor’s Graduates Employed Full-Time in Florida or Continuing Their Education in the U.S. One Year After Graduation;
2. Median Wages of Bachelor’s Graduates Employed Full-Time in Florida One Year After Graduation;
3. Average Cost per Bachelor’s Degree (Instructional Costs to the University);
4. Six-Year Graduation Rate for First-Time-in-College Students (Full- and Part-Time);
5. Academic Progress Rate (Second Year Retention Rate with Grade Point Average (GPA) Above 2.0);
6. Bachelor’s Degrees Awarded within Programs of Strategic Emphasis (Science, Technology, Engineering, and Mathematics (STEM));
7. University Access Rate (Percent of Undergraduates with Pell Grants);
8. Graduate Degrees Awarded within Programs of Strategic Emphasis (STEM);
9. Faculty Awards (FSU’s Choice of Board of Governors’ Choice Metrics); and

¹ The BOG’s original deadline for submission of the audit and certification form was March 1, 2016. Florida State University requested and received BOG approval to submit the audit and certification form on March 4, 2016, which allows the University’s Board of Trustees to meet on March 4, 2016, and approve the two required documents.

This audit solely addresses the integrity of the University’s data submissions to the BOG that support the University’s Performance-Based Funding metrics. Our evaluation of controls and testing includes the University’s most recent data submissions associated with the PBF metrics that were available up to October 14, 2015. The BOG extracts data from the files provided by the University and performs additional calculations to derive the final PBF metrics data published by the BOG. The University is not involved in these extractions or additional calculations by the BOG.

Objectives:

1. Determine if there were any changes since our conclusion in the previous PBF audit concerning the Data Administrator’s appointment and the duties and responsibilities in his official position description that: “Dr. Burnette has been officially appointed by the University President as the Data Administrator and his Position Description reflects this appointment and the related responsibility of preparing and submitting files as required by the BOG.”

2. Determine the current status of processes used by the Data Administrator to ensure the completeness, accuracy, and timely submission of data to the BOG.

In our previous PBF audit we concluded that:

...the processes used by the University Data Administrator and his staff in Institutional Research (IR) reasonably ensure the completeness and accuracy of data submitted to the BOG, including compliance with BOG criteria for the data. The University’s submissions of files to the BOG have been uncharacteristically late with the implementation of the University’s new Student Information System (SIS) in Campus Solutions, due to staff resources constraints, compared to its more timely reporting prior to that. It is expected that all reporting of Campus Solutions data in Academic Year 2015-16 will be drawn from the data warehouse using OBIEE, which will improve the timeliness of data file submissions for the University’s Performance-Based Funding Metrics.

As a planned action to assure timely reporting, University administrators were to periodically check on the progress of the ongoing process to finish the University’s scoping and development of the State University Database System (SUDS) reporting structures to achieve all reporting of Campus Solutions data in Academic Year 2015-16 being drawn from the University’s data warehouse using Oracle Business Intelligence Enterprise Edition (OBIEE) software. The planned implementation date for this management action was the first instance in the 2015-16 reporting cycle.
3. Determine the current status of available documentation including policies, procedures, and desk manuals of appropriate staff and assess their adequacy for ensuring data integrity for University data submissions to the BOG.

In our previous PBF audit we concluded that:

*Descriptions of the processes used by the University Data Administrator to ensure the completeness and accuracy of data submissions to the BOG, i.e., data integrity, were available, but were not in the form of formal written policies and procedures, or desk manuals. The absence of such formal written documents is due to the implementation of the University’s new SIS in Campus Solutions and its limited staff resources for reporting, along with the need to allow the reporting sources to mature. The University Data Administrator stated his goal is to collect and maintain all of his policies, procedures, minutes of meetings, and other documentation online via the Institutional Research “Wiki” web application.*

As a planned action, University administrators stated that the University’s Data Administrator and his staff were to develop SUDS-related formal written policies and procedures on IR’s Wiki web application, as they had done for certain non-SUDS policies and procedures, as soon as the reporting sources had matured. The target date for this planned management action was July 1, 2015.

4. Determine the current status since our conclusion in the previous PBF audit concerning system access controls and user privileges that: “System access controls and user privileges for the University’s Campus Solutions and BOG SUDS systems are properly assigned and periodically reviewed to ensure only those authorized to make data changes can do so.”

5. Determine the current status since our conclusion in the previous PBF audit concerning audit testing of data accuracy that: “Based on our data accuracy testing for the University’s 10 Performance-Based Funding metrics, we determined the University’s data submitted to the BOG were complete and accurate, and in accordance with BOG guidance.”

6. Determine the current status since our conclusion in the previous PBF audit concerning the consistency of data submissions with the data definitions and guidance provided by the BOG through the Data Committee and communications from data workshops.

In the prior audit we concluded that:

*We found no evidence that the University’s data submissions to the BOG, specifically those pertaining to data elements germane to this audit, were inconsistent with BOG reporting requirements for these data elements, and no files were resubmitted to correct or change data in these fields.*
7. Determine the current status since our conclusion in the previous PBF audit concerning the University Data Administrator’s data resubmissions to the BOG that: “We determined that resubmissions by the University have been very rare, are both necessary and authorized, and have had minimal to no effect on the University’s Performance-Based Funding metrics.”

8. Provide an objective basis of support for the President and Board of Trustees chair to sign the representations made in the Performance-based Funding - Data Integrity Certification.

Our detailed methodology for each of our eight objectives is included in the report section for each. In general, to complete the stated audit objectives, we conducted interviews with the Data Administrator and other key data managers and analyzed supporting documentation related to the objectives. Such supporting documentation included available data and information related to:

- The Data Administrator’s appointment and position duties and responsibilities;
- Processes, policies, procedures, and desk manuals concerning data input, error identification and correction, compliance with the BOG guidance, etc., to determine whether these are adequate to provide reasonably sufficient internal control over data;
- Data file submissions by the University to the BOG, to determine whether they were made in a timely manner and included any resubmissions and the reasons for these;
- SUDS and University systems access by individuals associated with the University, to determine if that access is appropriate;
- Written guidance from the BOG and the University’s related training and communications, to demonstrate the University’s efforts to attain agreement of its efforts with BOG expectations; and
- Latest data files submitted to the BOG that contained elements used in calculating Performance-Based Funding metrics, and the University’s related source data, to ensure that data submitted to the BOG were consistent with University transactional data and the BOG requirements.

This audit was performed in conformance with the International Standards for the Professional Practice of Internal Auditing. Those standards require we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Background

The Florida Board of Governors, created in 2002, is authorized in Article IX, Section 7(d), Florida Constitution to “operate, regulate, control, and be fully responsible for the management of the whole university system,” which consists of the state’s 12 public institutions.

Beginning in fiscal year 2013-14, the BOG instituted a Performance-Based Funding Program based on 10 performance metrics used to evaluate the institutions on a range of issues, including
graduation rates, job placement, cost-per-degree, etc. According to information published by the BOG in May 2014, the BOG funding model has four guiding principles:

1. Use metrics that align with State University System (SUS) Strategic Plan goals.
2. Reward excellence or improvement.
3. Have a few, clear, simple metrics.
4. Acknowledge the unique mission of the different SUS institutions.

The Performance-Based Funding Program also has four key components:

1. Institutions will be evaluated on either Excellence or Improvement for each metric.
2. Data are based on one year.
3. The benchmarks for Excellence were based on the BOG’s 2025 System Strategic Plan goals and analysis of relevant data trends, whereas the benchmarks for Improvement were determined after reviewing data trends for each metric.
4. The Florida Legislature and Governor determine the amount of new state funding and a proportional amount of institutional funding that would come from each university’s recurring state base appropriation.

To provide assurance that data submitted by the 12 state public universities to the BOG in support of their Performance-Based Funding metrics are reliable, accurate, and complete, the BOG developed a Data Integrity Certification process. This is the second consecutive year Florida State University’s Office of Inspector General Services has completed a PBF Data Integrity Certification audit and certification for the University’s President and Board of Trustees Chair to sign—both of which are to be subsequently provided to the BOG.

**Findings**

Overall, we concluded that the University has adequate processes for collecting and reporting Performance-Based Funding metrics data to the BOG. In addition, we can provide an objective basis of support for the University’s President and Board of Trustees Chair to sign the Performance-Based Funding – Data Integrity Certification, which the BOG requested to be filed with it by March 4, 2016. We have one recommendation for improvement for which University management has agreed to take appropriate action.

Accordingly, in our opinion, this report provides an objective basis of support for the Board of Trustees Chair and the University President to sign the representations made in the BOG Performance-Based Funding – Data Integrity Certification, which the BOG requested to be filed with it upon approval by the Board of Trustees by March 4, 2016.

**Objective #1: Determine if there were any changes since our conclusion in the previous PBF audit concerning the Data Administrator’s appointment and the duties and responsibilities in his official position description that:** “Dr. Burnette has been officially appointed by the University President as the Data
Administrator and his Position Description reflects this appointment and the related responsibility of preparing and submitting files as required by the BOG.”

Findings:

The University’s current Data Administrator continues to be Richard R. Burnette III, Ph.D. (Dr. Burnette), who is the University’s IR Director. Dr. Burnette assumed University Data Administrator responsibilities effective May 13, 2013, following the retirement of Ralph Alvarez, the prior University Data Administrator and the Associate Vice President for Budget/Planning and Financial Services. Dr. Burnette’s appointment as University Data Administrator by the President was further and more officially documented on November 25, 2014, when President John Thrasher sent a letter to the BOG’s Chancellor Marshall Criser listing Dr. Burnette as the University’s Data Administrator in a list of University appointments.

We reviewed Dr. Burnette’s current Position Description effective November 21, 2014, which included his role as serving as the University’s Data Administrator and listed among his responsibilities “Responsible for the preparation and submission of files as required by the Board of Governors.”

Conclusion for Objective #1:

Dr. Burnette has been officially appointed by the University President as the Data Administrator and his Position Description reflects this appointment and the related responsibility of preparing and submitting files as required by the BOG.

Recommendations:

We have no recommendations for Objective #1.

Objective #2: Determine the current status of processes used by the Data Administrator to ensure the completeness, accuracy, and timely submission of data to the BOG.

In our previous PBF audit we concluded the processes used by the University Data Administrator and his staff in IR reasonably ensured the completeness and accuracy of data submitted to the BOG, including compliance with BOG criteria for the data. However, the University’s submissions of files to the BOG had been uncharacteristically late with the implementation of the University’s new Student Information System (SIS) in Campus Solutions, due to staff resources constraints, compared to the University’s more timely reporting prior to that. As a planned action to assure timely reporting, University administrators were to periodically check on the progress of the ongoing process to finish the University’s scoping and development of the SUDS reporting structures to achieve all reporting of Campus Solutions data in Academic Year 2015-16 being drawn from the University’s data warehouse using Oracle Business Intelligence Enterprise

7
Edition (OBIEE) software. The planned implementation date for this management action was the first instance in the 2015-16 reporting cycle.

**Findings:**

As we observed in our last year’s Performance-Based Funding Metrics Data Integrity Certification Audit, we continue to believe the processes used by the University Data Administrator and his staff in IR reasonably ensure the completeness and accuracy of data submitted to the BOG, including compliance with BOG criteria for the data.

To better understand the organization of the current reporting process, the present chain of custody is presented, as follows:

- Student information necessary for reporting is captured in the Campus Solutions/PeopleSoft transactional Student Information System.
- Data are captured in the data warehouse on a nightly basis. These data cannot be edited by individual users and as such are “read only.” These transactional views are supplemented with an extract view that was created from external sources and parked in the data warehouse so it can be compared against warehoused transactional data.
- Over a month before the due date for a file, the reporting team consisting of IR, the functional office for the data, and the Campus Solutions reporting team begin extracting data and creating a draft file via OBIEE.
- OBIEE has data transformation logic in place to represent transactional data using BOG defined codes and to match BOG field names.
- In cases where external data must be merged with the file, the data are moved to Excel for the purpose of comparison.
- Once a file is sufficiently complete and formatted for submission, it is loaded to the BOG SUDS beta environment.
- After all files are added, the edits are run to generate the dynamic reports and frequency distributions.
- IR and functional users review the errors to determine whether there are simply translation errors or if data in the Student Information System are incorrect.
- Any necessary corrections are made to the transactional system so that the changes are permanent.
- The Data Administrator emails the BOG if there are any questions about interpretation that are not addressed in the online data dictionary, the SUDS release notes, or the Annual Data Administrators’ Conference Proceedings.
- Corrected files are reloaded and the audit process continues until all the errors have been cleaned up or explained.
- The final check is to compare data frequencies with those from the prior year using the Submission Summary feature on the SUDS submission page. Large differences are explained even if they do not generate any errors.
- The final data are pulled using OBIEE and the data warehouse team is instructed to make snapshots of those data at that point in time. Because data change over time, it is important to retain exact copies of source data for the BOG reports.
Each file is loaded into production and edits are run one last time and checked for possible errors.

The Data Administrator enters an explanation for all errors that the BOG has defined as Level 9 (critical) errors. There are circumstances where data nuances are explainable and this is where the BOG captures the explanations.

The Data Administrator submits each file for BOG review.

The BOG has three levels of review. BOG staff occasionally asks for clarification when frequencies differ and if they and the Data Administrator agree that data are in error or were interpreted in a way that was not consistent with BOG intent or other institutions, the file is reopened for a resubmission. Now that the Institutional Research Office has access to the prior year frequencies, the University should have few or no resubmissions due to frequency mismatches going forward.

For the purposes of this report, and our testing of the completeness and accuracy of data the University submitted for its PBF measures (Please see Objective #5.), the files we used and their reporting periods, as well as the University systems from which the data came (the University’s legacy or Campus Solutions system), were as follows:

<table>
<thead>
<tr>
<th>File</th>
<th>Legacy—Reporting Period(s)</th>
<th>Campus Solutions—Reporting Period(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admissions</td>
<td>2012-2013</td>
<td></td>
</tr>
<tr>
<td>SIF</td>
<td>Summer 2008, Fall 2008</td>
<td>Fall 2013, Fall 2014</td>
</tr>
<tr>
<td>Retention</td>
<td>This file is generated by the BOG and confirmed by FSU’s Office of Institutional Research.</td>
<td></td>
</tr>
<tr>
<td>SFA</td>
<td></td>
<td>Fall 2014</td>
</tr>
<tr>
<td>SIFD</td>
<td>Fall 2008 through Summer 2013</td>
<td>Fall 2013 through Summer 2014, 2014-2015</td>
</tr>
</tbody>
</table>

With the University’s change to Campus Solutions as its Student Information System, the chosen methodology of reporting via OBIEE makes the processes used by the University to submit data to the BOG much more transparent than in the past, and it better assures consistency in the reporting protocol while making it relatively easy to audit source data mapping and definitions. As an improvement over last year, the University now has published procedures for generating the referenced data files for the Performance-Based Funding data. The Data Administrator demonstrated that the processes for producing these files have planned redundancy with regards to the personnel who are producing the files, sufficient and evolving documentation of the processes, clear data mapping, and collaborative planning. According to the Data Administrator, the University has now produced all the data environments necessary to generate these reports via OBIEE.

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[1] This file is derived by the BOG based on the University’s Operating Budget and Instruction and Research Data file submissions.

[2] The EA 2013-14 File includes Summer 2013 through Spring 2014 data. The Summer 2013 data were obtained from the University’s legacy system, while the Fall 2013 and Spring 2014 data were obtained from the University’s new Campus Solutions system.
The University Data Administrator is aware of BOG Regulation 3.007, which states that, prior to submitting a file the universities shall ensure the file is consistent with the criteria established in the specifications document by performing tests on the file using applications/processes provided by the BOG Information Resource Management (IRM) Office. According to the Data Administrator, prior to the implementation of Campus Solutions, the Office of Institutional Research conducted a review of the edits and frequencies (compared to prior years) of files that were not generated by IR. Now, IR is partnering with all functional areas as active partners in the creation of the data files. The error and frequency checking still occurs, but the new process assures a transparent review and that contextual nuances are being learned by the IR staff that will help them to better detect and explain differences in data between submissions. While designing and documenting these new processes, the Office of Institutional Research has become familiar with additional BOG IRM resources that allow for easily comparing frequencies to prior years and the documentation of cumulative release notes that detail the ad hoc changes to the reporting requirements that did not occur at the Annual Data Administrators Workshops.

In contrast to our continued positive findings concerning the University’s processes to ensure the completeness and accuracy of its data submissions to the BOG, including compliance with BOG criteria for the data, the timeliness of those data submissions continues to be problematic.

The Data Administrator demonstrated that file generation and testing activities were all documented in Outlook Calendar for all affected individuals. All members of the University’s data submission team have the calendar of due dates that was published in the BOG Workshop Proceedings. Additionally, members of IR, staff from the Budget Office, persons from Admissions and Records, and more recently staff from Student Financial Aid, have attended the Annual SUS Data Administrators Workshops, where participants discuss expectations and changes to the BOG reporting format.

The Office of Institutional Research has created a SharePoint workflow that automatically sends all BOG emails to the University Data Administrator and converts them into tasks for the IR Analyst, who tracks BOG requests for the Data Administrator. This site captures all incoming requests and has a record of all submitted files and responses for ad hoc and scheduled reports, including the due dates, completion dates, and the primary contacts, as well as copies of the communications to the BOG.

To test the timeliness of the University’s submission of required files to the BOG that relate to FSU’s Performance-Based Funding metrics, we used Submission History information from the BOG SUDS system. The following six BOG-required files relate to the University’s Performance-Based Funding metrics. For each of these required files, we reviewed the University’s current and historical submissions back to the fifth most recent submission. The listing below shows the time span of each file’s submissions that we reviewed.

1. Admissions File (Summer 2014 through Fall 2015 Terms);
2. Student Instruction File (SIF) (Spring 2014 through Summer 2015 Terms);
3. Expenditure Analysis (EA) File (2009-10 through 2013-14);
4. Retention File (2009-10 through 2013-14);
5. Student Financial Aid (SFA) File (2009-10 through 2013-14); and

The table below shows the University’s Student Information System from which each file we reviewed to test timeliness of submissions was obtained, and the reporting period covered.

<table>
<thead>
<tr>
<th>File</th>
<th>Legacy—Reporting Period(s)</th>
<th>Campus Solutions—Reporting Period(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admissions</td>
<td>Summer 2014 through Fall 2014</td>
<td>Spring 2015 through Fall 2015</td>
</tr>
<tr>
<td>SIF</td>
<td></td>
<td>Spring 2014 through Summer 2015</td>
</tr>
<tr>
<td>EA²</td>
<td>2009-10 through Summer 2013³</td>
<td>2013-14</td>
</tr>
<tr>
<td>Retention</td>
<td>2009-10 through 2012-13</td>
<td>2013-14</td>
</tr>
<tr>
<td>SFA</td>
<td>2009-10 through Summer 2013⁴</td>
<td>2013-14</td>
</tr>
<tr>
<td>SIFD</td>
<td></td>
<td>Fall 2013 through Spring 2015</td>
</tr>
</tbody>
</table>

For the most current submission for each of the six types of files, five of the six were late (83 percent. The days late ranged from one to 28 days, with an average of 13 days late. For the second most recent round of file submissions for the six types of files, three of the six (50 percent) were not timely; the days late ranged from five to eight days, with an average of six days late. For all of the files in our testing that were submitted late, the information was obtained from the new Campus Solutions system—with the exception of Admissions data for the fourth and fifth most recent file submissions and Student Financial Aid data for the second and fourth most recent file submissions, which data came from the legacy system.

Please see the following table for the five most recent submissions of each of the six files. As part of last year’s audit, University administrators indicated in their Action Plan that timely reporting would be addressed in the first instance of the 2015-16 reporting cycle. Therefore, we have highlighted the three submissions that pertain to this corrective action target date, for Summer and Fall 2015.

² This file is derived by the BOG based on the University’s Operating Budget and Instruction and Research Data file submissions.
³ The EA 2013-14 File includes Summer 2013 through Spring 2014 data. The Summer 2013 data were obtained from the University’s legacy system, while the Fall 2013 and Spring 2014 data were obtained from the University’s new Campus Solutions system.
⁴ The SFA 2013-14 File includes Summer 2013 through Spring 2014 data. The Summer 2013 data were obtained from the legacy system, while the Fall 2013 and Spring 2014 data were obtained from the Campus Solutions system.
<table>
<thead>
<tr>
<th>File</th>
<th>Term</th>
<th>SLDS Due Dates</th>
<th>Submission to BOG</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admissions File</td>
<td>Fall 2015</td>
<td>9/25/15</td>
<td>9/19/15</td>
<td>4 days</td>
</tr>
<tr>
<td>Student Instruction File</td>
<td>Summer 2015</td>
<td>9/28/15</td>
<td>10/8/15</td>
<td>10 days</td>
</tr>
<tr>
<td>Expenditure Analysis File</td>
<td>2013-14</td>
<td>10/28/2014</td>
<td>11/18/2014</td>
<td>21 days</td>
</tr>
<tr>
<td>Retention File</td>
<td>2013-14</td>
<td>1/21/2015</td>
<td>1/21/2015</td>
<td>N/A - On Time</td>
</tr>
<tr>
<td>Degrees Awarded File</td>
<td>Spring 2015</td>
<td>7/1/15</td>
<td>7/2/15</td>
<td>1 day</td>
</tr>
</tbody>
</table>

**Second Most Recent Submission**

<table>
<thead>
<tr>
<th>File</th>
<th>Term</th>
<th>SLDS Due Dates</th>
<th>Submission to BOG</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admissions File</td>
<td>Summer 2015</td>
<td>9/4/15</td>
<td>9/10/15</td>
<td>6 days</td>
</tr>
<tr>
<td>Expenditure Analysis File</td>
<td>2012-13</td>
<td>10/22/2013</td>
<td>10/22/2013</td>
<td>N/A - On Time</td>
</tr>
<tr>
<td>Retention File</td>
<td>2012-13</td>
<td>1/22/2014</td>
<td>1/22/2014</td>
<td>N/A - On Time</td>
</tr>
<tr>
<td>Student Financial Aid File</td>
<td>2012-13</td>
<td>10/7/2013</td>
<td>10/15/2013</td>
<td>8 days</td>
</tr>
<tr>
<td>Degrees Awarded File</td>
<td>Fall 2014</td>
<td>2/6/15</td>
<td>2/11/15</td>
<td>5 days</td>
</tr>
</tbody>
</table>

**Third Most Recent Submission**

<table>
<thead>
<tr>
<th>File</th>
<th>Term</th>
<th>SLDS Due Dates</th>
<th>Submission to BOG</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admissions File</td>
<td>Spring 2015</td>
<td>2/27/15</td>
<td>3/14/15</td>
<td>15 days</td>
</tr>
<tr>
<td>Student Instruction File</td>
<td>Fall 2014</td>
<td>1/16/15</td>
<td>2/3/15</td>
<td>18 days</td>
</tr>
<tr>
<td>Expenditure Analysis File</td>
<td>2011-12</td>
<td>10/21/2012</td>
<td>10/18/2012</td>
<td>N/A - Early</td>
</tr>
<tr>
<td>Retention File</td>
<td>2011-12</td>
<td>4/10/2013</td>
<td>4/8/2013</td>
<td>N/A - Early</td>
</tr>
<tr>
<td>Student Financial Aid File</td>
<td>2011-12</td>
<td>10/5/2012</td>
<td>10/20/2012</td>
<td>N/A - On Time</td>
</tr>
<tr>
<td>Degrees Awarded File</td>
<td>Summer 2014</td>
<td>10/7/14</td>
<td>10/6/14</td>
<td>N/A - Early</td>
</tr>
</tbody>
</table>

**Fourth Most Recent Submission**

<table>
<thead>
<tr>
<th>File</th>
<th>Term</th>
<th>SLDS Due Dates</th>
<th>Submission to BOG</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admissions File</td>
<td>Fall 2014</td>
<td>9/26/14</td>
<td>10/2/14</td>
<td>6 days</td>
</tr>
<tr>
<td>Student Instruction File</td>
<td>Summer 2014</td>
<td>10/1/14</td>
<td>10/1/14</td>
<td>N/A - On Time</td>
</tr>
<tr>
<td>Expenditure Analysis File</td>
<td>2010-11</td>
<td>10/18/2011</td>
<td>10/18/2011</td>
<td>N/A - On Time</td>
</tr>
<tr>
<td>Retention File</td>
<td>2010-11</td>
<td>4/13/2012</td>
<td>4/5/2012</td>
<td>N/A - Early</td>
</tr>
<tr>
<td>Student Financial Aid File</td>
<td>2010-11</td>
<td>10/5/2011</td>
<td>10/12/2011</td>
<td>7 days</td>
</tr>
<tr>
<td>Degrees Awarded File</td>
<td>Spring 2014</td>
<td>6/25/14</td>
<td>7/21/14</td>
<td>26 days</td>
</tr>
</tbody>
</table>

**Fifth Most Recent Submission**

<table>
<thead>
<tr>
<th>File</th>
<th>Term</th>
<th>SLDS Due Dates</th>
<th>Submission to BOG</th>
<th>Days Late</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admissions File</td>
<td>Summer 2014</td>
<td>9/5/14</td>
<td>9/19/14</td>
<td>14 days</td>
</tr>
<tr>
<td>Student Instruction File</td>
<td>Spring 2014</td>
<td>6/12/14</td>
<td>7/11/14</td>
<td>29 days</td>
</tr>
<tr>
<td>Expenditure Analysis File</td>
<td>2009-10</td>
<td>10/18/2010</td>
<td>10/14/2010</td>
<td>N/A - Early</td>
</tr>
<tr>
<td>Student Financial Aid File</td>
<td>2009-10</td>
<td>10/15/2010</td>
<td>10/12/2010</td>
<td>N/A - Early</td>
</tr>
<tr>
<td>Degrees Awarded File</td>
<td>Fall 2013</td>
<td>2/7/14</td>
<td>3/11/14</td>
<td>32 days</td>
</tr>
</tbody>
</table>

In addition to delays due to the conversion of data from the University’s legacy system to the new Campus Solutions system, the University Data Administrator explained in more detail the reasons behind the delays in submissions for the most recent file submissions.
Admissions File – The Fall 2015 submission was four days late. There were two issues that contributed to this:

1. IR was waiting for Admissions to confirm around 5,000 duplicate applications that should be ignored in reporting.
2. There was a change in the Admissions application process for the Fall 2015 semester where students self-reported their last institution dates. Several of the students listed dates of attendance that were not valid and had to be manually reconciled.

Student Instruction File – This file was 10 days late because IR was waiting for BOG clarification on how to report waiver data. IR scheduled a meeting with the BOG, which agreed the instructions were not clear but advised IR to submit the file. Once IR’s questions were answered by the BOG, the file was recompiled, tested, and submitted.

Expenditure Analysis File – For the 2013-14 reporting period, this file was 21 days late. This file is contingent upon the Instructions Research Data File (IRDF). The IRDF File was due on October 7, 2014 but was not submitted until November 7, 2014. The IRDF File is contingent upon Campus Solutions data and their interaction with the University's Faculty Assignments, Commitments, and Effort Certification Tracking (FACET) faculty effort reporting application. The reporting protocol had to be redone based on the new Student Information System. The delay in the IRDF File created the delay in the reporting of the Expenditure Analysis File. (Post-Audit Note: For the 2014-15 reporting period, the file was submitted only three days late.)

Student Financial Aid File – The 2013-14 file was 28 days late. This was the first time the file was submitted from Campus Solutions. The process had to be developed from scratch and there was an extended data validation. (Post-Audit Note: For the 2014-15 reporting period, the file was nine days late.)

The explanations above primarily point to delays in file submissions to the BOG as a result of the University having to accommodate new reporting protocols, such as the first submissions of the Admissions and Student Financial Aid Files, from the University’s new Campus Solutions Student Information System. The delays with these files adversely affected the timeliness of other data files that were contingent upon them. The Data Administrator acknowledged that the 2015-16 academic year will be the first full reporting cycle in which all University data file submissions to the BOG will be generated from the new Campus Solutions Student Information System. He is confident that his staff will become more proficient at reporting files from the new environment now that they have the experience of generating all reports from OBIEE at least once.

In summary, Office of Institutional Research staff was able to demonstrate their documentation of the scoping and data mapping necessary for the creation of various SUDS tables from the new Student Information System. Their intranet site had links to the BOG definition for each data element and a description of the data extraction and transformation process. A separate spreadsheet posted on the same site contained a list of action items, responsible parties, and suggested outcomes. The University Data Administrator not only described his collaborative approach to reporting from Campus Solutions via the data warehouse and OBIEE, but he also
demonstrated the method was organized, planned, documented, and thorough. Documentation of these processes and procedures has been added to institutional Wikis in a medium that allows for fluid editing of still-evolving processes. (Please see Objective #3.) Additionally, there was sufficient evidence of practices to conclude that the University Data Administrator and his staff were reviewing and comparing SUDS edits, errors, and reports prior to submission of the files. We determined the processes followed by IR staff were adequate to ensure the completeness and accuracy of data submitted to the BOG, including compliance with BOG criteria for the data.

Last year, we reported that some of the identification and design of the data warehouse items needed for BOG reporting was not in place, or was insufficient to produce reports primarily or exclusively via OBIEE. The University Data Administrator confirmed that these reporting environments are now complete, which should lead to timelier reporting in the future. Whereas reporting via OBIEE itself has added some delays to the file production because the process of generating files is still too labor-intensive, the tradeoff is that the platform allows for complete transparency of the process and the data transformations.

**Conclusion for Objective #2:**

We concluded the processes used by the University Data Administrator and his staff in Institutional Research reasonably ensure the completeness and accuracy of data submitted to the BOG, including compliance with BOG criteria for the data.

For this year of reporting on the University’s PBF metrics’ data integrity, the University’s submissions of files to the BOG for Summer and Fall 2015 were late; however, there has been significant improvement. As part of last year’s audit, University administrators indicated in their Action Plan that timely reporting would be addressed in the first instance of the 2015-16 reporting cycle. It is apparent that the University has made additional efforts to submit data timely. As shown in the previous file submissions table, there have been three submissions for Summer and Fall 2015, with the number of days late being 4, 10, and 6. For the file submitted 10 days late in October 2015, IR was waiting for BOG clarification on how to report waiver data. For the file submitted 6 days late in September 2015, the days late included a three-day holiday weekend. In comparison, the table shows that prior to Summer 2015, submissions were on several occasions more than 20 days late, due to the University’s implementation of its new Campus Solutions Student Information System, and the necessity for the University to develop reporting protocols to extract information for the PBF measures from the new system. The 2015-16 academic year will be the first full reporting cycle in which all University data file submissions to the BOG will be generated from the new Campus Solutions Student Information System. It is anticipated that IR staff will become more proficient at reporting files from the new environment now that they have the experience of generating all reports from OBIEE at least once.

**Recommendation:**

_We recommend_ that University administrators continue to routinely monitor the timeliness of the University’s file submissions to the BOG and take proactive measures to resolve any delays. It
is anticipated that there will be a reduction in the number of days late for future file submissions. The ultimate goal is to submit all required files to the BOG on time.

**Objective #3: Determine the current status of available documentation including policies, procedures, and desk manuals of appropriate staff and assess its adequacy for ensuring data integrity for University data submissions to the BOG.**

In our previous PBF audit we concluded that:

*Descriptions of the processes used by the University Data Administrator to ensure the completeness and accuracy of data submissions to the BOG, i.e., data integrity, were available, but were not in the form of formal written policies and procedures, or desk manuals. The absence of such formal written documents is due to the implementation of the University’s new SIS in Campus Solutions and its limited staff resources for reporting, along with the need to allow the reporting sources to mature. The University Data Administrator stated his goal is to collect and maintain all of his policies, procedures, minutes of meetings, and other documentation online via the Institutional Research “Wiki” web application.*

As a planned action, University administrators stated that the University’s Data Administrator and his staff were to develop SUDS-related formal written policies and procedures on IR’s Wiki web application, as they had done for certain non-SUDS policies and procedures, as soon as the reporting sources had matured. The target date for this planned management action was July 1, 2015.

**Findings:**

We concluded that the Office of Institutional Research and the Office of Financial Aid have produced intranet-based policies and procedures manuals for the affected BOG files. IR has published a “BOG File Submission Policy” on its Wiki web application and shared the document with other offices in the University that help in the production of SUDS files. The documentation of the file build processes (i.e., desk manuals) is sufficient to allow an individual with appropriate context and knowledge of FSU systems to produce the referenced SUDS files. The documentation generally includes data mapping and references to historical file submissions and edits.

**Conclusion for Objective #3:**

*We concluded that Institutional Research’s available documentation including policies, procedures, and desk manuals of appropriate staff were adequate for ensuring data integrity for University data submissions to the BOG.*

**Recommendations:**

We have no recommendations for Objective #3.
Objective #4: Determine the current status since our conclusion in the previous PBF audit concerning system access controls and user privileges that: “System access controls and user privileges for the University’s Campus Solutions and BOG SUDS systems are properly assigned and periodically reviewed to ensure only those authorized to make data changes can do so.”

Findings:

There are system access controls throughout the BOG data submission process. Florida State University has role-based and application-based security on the prior legacy Student Information System and Campus Solutions/PeopleSoft. The PeopleSoft role management process is an integrated online workflow that, at a minimum, depending on the sensitivity of the role, requires an employee’s direct supervisor and the functional owner of the application or module to approve each request. Additionally, there are sufficient automated safeguards to remove access when employees are terminated, and supervisors and subject-area owners are responsible for auditing access logs on at least a quarterly basis. This same role-based and reporting-subject-area based protocol is used for the OBIEE access to the data in the data warehouse. IR employees do not have security to change transactional data in Campus Solutions or the data warehouse (which is read only), therefore adding an additional layer of control.

The University Data Administrator and his BOG Analyst are the designated security managers for the SUDS database access. This system was designed with redundant fail-over protections to assure against inappropriate access. Access to SUDS is segregated by role, and each role has to be assigned online by one of the two security managers. Every time a user’s access or password is modified, the security managers each receive an email indicating the change and the person who submitted it. SUDS passwords also must be changed every three months. From our review of SUDS access, we found no inappropriate access. Finally, the access does not allow for the manipulation of previously submitted data. To change data, the University Data Administrator would have to submit a request with justification to the BOG to reopen the file for resubmission. Only at that time could someone submit a new table. However, the SUDS system captures his/her identity, a timestamp, and the name of the source file in a way that is visible to any user.

Conclusion for Objective #4:

System access controls and user privileges for the University’s Campus Solutions and BOG SUDS systems are properly assigned and periodically reviewed to ensure only those authorized to make data changes can do so.

Recommendations:

We have no recommendations for this Objective #4.

Objective #5: Determine the current status since our conclusion in the previous PBF audit concerning audit testing of data accuracy that: “Based on our data
accuracy testing for the University’s 10 Performance-Based Funding metrics, we determined the University’s data submitted to the BOG were complete and accurate, and in accordance with BOG guidance.”

The University’s 10 Performance-Based Funding metrics are as follows.

Key Metrics Common to All Universities:
1. Percent of Bachelor’s Graduates Employed Full-Time in Florida or Continuing Their Education in the U.S. One Year After Graduation.
2. Median Wages of Bachelor’s Graduates Employed Full-Time in Florida One Year After Graduation.
3. Average Cost per Bachelor’s Degree (Instructional Cost to the University).
4. Six Year Graduation Rate for First-Time-in-College Students (Full-and Part-Time).
5. Academic Progress Rate (Second Year Retention Rate with GPA Above 2.0).
6. Bachelor’s Degrees Awarded within Programs of Strategic Emphasis (STEM).
8. Graduate Degrees Awarded within Programs of Strategic Emphasis (STEM).

Institution-Specific Metrics for Florida State University:

9. Faculty Awards (FSU’s Choice of Board of Governors’ Choice Metrics).

The State University System of Florida Board of Governors maintains a student unit record database titled the State University Database System (SUDS). The database contains over 400 data elements about students, faculty, and programs at State University System institutions. The metrics are based on the data that universities submit to the BOG as part of various data tables and file submissions.

We interviewed the Data Administrator, IR staff, and key departmental Data Managers to determine the primary sources of data used for the calculations of the metrics. The University has been transitioning from a legacy student information system to the new Campus Solutions system, a process that began in 2010-2011 and culminated with a “go-live” effective the Fall term, 2013 for all student, course, degree, and financial aid functions. Admissions more recently came online for the Spring 2015 semester.

Findings:

Metrics 1 (Percent of Bachelor’s Graduates Employed Full-Time in Florida or Continuing Their Education in the U.S. One Year after Graduation), 2 (Median Wages of Bachelor’s Graduates Employed Full-Time in Florida One Year after Graduation), 6 (Bachelor’s Degrees Awarded within Programs of Strategic Emphasis (STEM)), and 8 (Graduate Degrees Awarded within Programs of Strategic Emphasis (STEM))
Post-Graduation Outcome Metrics

Metric 1 - (Percent of Bachelor’s Graduates Employed Full-Time in Florida or Continuing Their Education in the U.S. One Year after Graduation). The calculation of this measure is completed as follows, according to BOG definitions:

This metric is based on the percentage of a graduating class of bachelor’s degree recipients who are employed full-time or continuing their education somewhere in the United States. Students who do not have valid social security numbers and are not enrolled are excluded. Note: These data now include non-Florida employment data.
Sources: State University Database System (SUDS), Florida Education and Training Placement Information Program (FETPIP), analysis of Wage Record Interchange System (WRIS2) and Federal Unemployment Data Exchange (FEDES), and National Student Clearinghouse.

Metric 2 - (Median Wages of Bachelor’s Graduates Employed Full-Time in Florida One Year after Graduation). The calculation of this measure is to be done as follows, according to BOG definitions:

This metric is based on annualized Unemployment Insurance (UI) wage data from the fourth fiscal quarter after graduation for bachelor’s recipients. UI wage data do not include individuals who are self-employed, employed out of state, employed by the military or federal government, do not have valid social security numbers, or make less than minimum wage.
Sources: State University Database System (SUDS), Florida Education and Training Placement Information Program (FETPIP), and National Student Clearinghouse.

University SIFD data are used to identify the cohort, referred to as the ‘post-graduation cohort.’ The graduation year for this measure begins with the Summer semester and continues with Fall and Spring terms. The students’ social security numbers are used to compare graduates in the cohort to Florida employment information.

For the BOG to determine if any members of the graduating cohort subsequently enrolled anywhere in the United States within 14 months of their bachelor’s degrees being awarded, the BOG demographic data corresponding to each member of the cohort are provided to the National Student Clearinghouse. According to the BOG, the data used are from Person Demographics Tables included in Admissions File submissions to the BOG.

Degrees Awarded in Programs of Strategic Emphasis Metrics

Metric 6 Bachelor’s Degrees Awarded within Programs of Strategic Emphasis (includes STEM). The calculation of this measure is to be done as follows, according to BOG definitions:

This metric is based on the number of baccalaureate degrees awarded within the programs designated by the BOG as ‘Programs of Strategic Emphasis.’ A student who has multiple majors in the subset of targeted Classification of Instruction Program codes will be counted twice (i.e., double-majors are included).
Source: State University Database System (SUDS).

Metric 8 Graduate Degrees Awarded within Programs of Strategic Emphasis (includes STEM). The calculation of this measure is to be done as follows, according to BOG definitions:

This metric is based on the number of graduate degrees awarded within the programs designated by the BOG as ‘Programs of Strategic Emphasis.’ A student who has multiple majors in the subset of targeted Classification of Instruction Program codes will be counted twice (i.e., double majors are included).

Source: State University Database System (SUDS).

According to the BOG in its Overview of Methodology and Procedures: Performance Funding Metrics Methodology and Procedures - Percentage of Degrees Awarded in Programs of Strategic Emphasis document, the purpose of this Metric 8 is to promote the alignment of the State University System degree program offerings with state economic and workforce development needs. The list was originally created by an advisory group in 2001, and has been updated several times—most recently by the BOG in November 2013.

University SIFD data are used to identify the graduating cohort. The graduation year for this measure begins with the Summer semester and continues with Fall and Spring terms.

SIFD File Testing

The SIFD File is used to identify the cohort of students who received degrees during a given semester and is submitted at the end of each semester. This file is used by the BOG in calculating both the post-graduation outcome and degrees awarded in programs of strategic emphasis measures. In the metrics related to degrees awarded in areas of strategic emphasis, final degree program information is also used.

To calculate the final results for Metrics 1 and 2, aside from using the University’s data in its submitted SIFD File, the BOG separately obtains non-FSU derived employment and education data. Validation of data obtained separately by the BOG was outside the scope of this audit.

For our testing, the data used for the SIFD File submissions to the BOG resided in the University’s data warehouse, with reporting produced using OBIEE. Our testing population consisted of SIFD File submissions data for Summer 2014 (2,696 records), Fall 2014 (2,822 records), and Spring 2015 (6,893) terms, for a total of 12,411 records.

To determine the validity of these SIFD File submissions data, we developed queries in the University’s Campus Solutions system, which is now the system of record, to produce degrees awarded data for the same three semesters. We then used Microsoft Access queries to reconcile the SIFD File data from OBIEE to the degrees awarded data from the Campus Solutions system, to determine if the data submitted to the BOG were complete and valid.

Of the 12,411 degrees awarded records submitted to the BOG for Summer 2014, Fall 2014, and Spring 2015, 11,968 were recorded in the period earned and were readily reconcilable to our
query results using Campus Solutions source data. An additional 440 records were late degree
records (degrees awarded in one term but reported in a later term) not selected by the Campus
Solutions query we used for reconciliation. We randomly selected 15 of these late degree
records and traced them to student records in the Campus Solutions system; all 15 agreed with
the source records. Thus, we were able to reconcile 12,408 of the 12,411 degrees awarded
records submitted to the BOG to the University’s source data. The remaining three records did
not match Campus Solutions source records due to subsequent degree changes.

Admissions File Testing

The BOG provides the National Student Clearinghouse with SUDS demographic data from
Admissions File submissions that correspond to the individuals in the SIFD File submissions.
The Clearinghouse uses these data to determine whether any of the individuals who received
degrees have enrolled anywhere in the United States within 14 months of their bachelor’s
degrees being awarded and provides this information to the BOG for its metric calculations.

The Admissions records corresponding to students in the degrees awarded cohort would not be
limited to a single submission term. In addition, the demographic information is used to
facilitate students’ identification in Clearinghouse data. The completeness and accuracy of the
University’s Admissions File submissions data are critical for the Clearinghouse to accurately
identify members of a degrees awarded cohort who continued their education after graduation.

For our testing, the data used to produce the University’s Admissions Files submitted to the BOG
resided in the University’s data warehouse, with reporting produced using OBIEE. To determine
whether Person Demo information in the University’s Admissions File submissions to the BOG
were consistent with the University’s source data, we reviewed the 2012-13 Admissions File
submissions data provided to us by IR. These data contained 57,733 Admissions Person Demo
records for the terms Summer 2012, Fall 2012, and Spring 2013. We removed duplicates from
these records based on the last name, first name, and birth date, which resulted in 54,077 unique
records.

We used the SIFD File submissions data available during our testing period (Summer 2014, Fall
2014, and Spring 2015) to determine whether certain of these students were also in the 2012-13
Admissions File submissions data provided to us by IR, and whether the corresponding
Admissions records for the students included consistent Person Demo information. We were
able to match a total of 2,726 records in the 2014-15 SIFD File submissions data with the 2012-13
Admissions File submissions data, which corresponded to the total number of records in the
2014-15 SIFD File submissions data. Furthermore, for the 2,726 records, the demographic
information in both data sets agreed.

In summary, based on the results of our testing for Metrics 1, 2, 6, and 8, for the data elements
we reviewed in the University’s SIFD File submissions for Summer 2014, Fall 2014, and Spring
2015, we found no significant differences between data the University submitted to the BOG and
source data in the University’s system of record. We found the University’s submitted data to be
complete and accurate and in accordance with BOG guidance. We also determined for our
testing periods that demographic information in the University’s Admissions File submissions to the BOG was consistent with corresponding demographic data in the SIFD File submissions.

**Metric 3 (Average Cost per Bachelor’s Degree (instructional costs to the University rounded to tens digit))**

The calculation of this measure was to be done as follows, according to BOG definitions on its website:

> For each of the last four years of data, the annual total undergraduate instructional expenditures were divided by the total fundable student credit hours to create a cost-per-credit hour for each year. This cost-per-credit-hour was then multiplied by 30 credit hours to derive an average annual cost. The average annual cost for each of the four years was summed to provide an average cost per degree for a baccalaureate degree that requires 120 credit hours.

*Sources: State University Database System (SUDS), Expenditure Analysis: Report IV (2010-2011 through 2013-2014).*

State fundable credit hours are defined on the SIF File using the Student Section Funding Flag as found in the SUS Data Dictionary. State fundable credit hours are considered those for which the Legislature has provided direct funding through the general appropriations to the University. Whether credit hours are fundable or not is determined by properties of the course section and the students in that class. All course sections that are taught by instructors paid with state-appropriated Education and General (E&G) funds are fundable course sections. Course sections taught using Auxiliary or Contracts and Grants (C&G) funded instructors can be designated as fundable or non-fundable. Courses funded from non-University sources (e.g., military or corporation) are non-fundable. Additionally, remedial courses and courses that do not count towards any degree are non-fundable. All credits generated in non-fundable course sections are not state fundable.

In fundable courses, the state-fundable credit hours are those generated by fundable students. Students in a given course section are deemed as generating non-fundable credit for various reasons: they are on a reciprocal exchange agreement, they are non-resident students admitted via a profile exception, they have repeated the course too many times, or they have defaulted on payment for the course or were canceled for non-payment.

The purpose of this metric is to present a cost accounting of the total and per-hour cost of instruction in each approved program (identified by discipline) and at each level of instruction for every institution and the State University System as a whole. The cost consists of both direct instructional costs and indirect instructional expenditures (and the person year effort of instruction). Data for this metric are collected from the IRDF, Operating Budget (OB), and Expenditure Analysis (EA) File submissions to the BOG. The EA File is derived by the BOG based on the University’s OB and IRDF File submissions.
IRDF File Testing

Global Testing of Results from Queries of the University’s Source Files against Files Submitted to the BOG. The IRDF File is composed of data from various tables including the University’s Workload Activity Table, which is built by IR staff in the FACET component of the University’s Online Management of Networked Information (OMNI) Human Resources (HR) system. The Workload Activity Table includes the instructor portion of fundable credit hours per course section by course level, segregated by funding source. We obtained data from the Workload Activity Tables of the IRDF Files that were submitted by FSU to the BOG for the academic years 2010-11, 2011-12, 2012-13, and 2013-14. We ran queries for each term in these four academic years in the University’s OMNI HR system in the production environment, which is the University’s official source of data, and reconciled the Instructor’s total fundable credit hours by course level from this source data to the Instructor’s total fundable credit hours in the files the University submitted to the BOG, identifying an immaterial amount (3 credit hours) of differences for all four academic years.

Focused Testing of Course Levels. As additional assurance, using the SUDS Data Dictionary description for course level classifications, which specifies lower level courses as those with course numbers between 1000 and 2999, and upper level courses as those with course numbers between 3000 and 4999, we used results from our Spring 2014 query that was run in the OMNI HR production environment to review the levels by course number. We ran a pivot table on the data to show the course level by the first digit of the course number. All course numbers beginning with “1” or “2” had an IRDF File code of 11 (lower level) and all course numbers beginning with “3” or “4” had an IRDF File code of 12 (upper level). The total entries for the query results (6,292) reconciled with the total rows on the original query data sent to the BOG for Spring 2014.

Focused Testing of Student Credit Hours and Fundable Credit Hours. Using the data from the Workload Activity Table that was submitted by FSU to the BOG for the Spring 2014 term, we filtered by the course level (11 and 12). We then sorted the data by largest instructor total fundable credit hours per course section per funding source per instructor. We selected the 50 largest instructor total fundable credit hours per course section per funding source per instructor as our sample to test to the University’s FACET source data. For each of our sampled items from data submitted to the BOG, we searched the University’s source FACET Student Central Course Data available in OMNI HR, by course section number, and confirmed the contact hours and workload percentage per course section per funding source per instructor. We also ran a query in the University’s OMNI HR system in the production environment, for the Spring 2014 term, which showed the total credit hours and total fundable credit hours per course section per instructor. From these data we could calculate each instructor’s total credit hours per course section by multiplying the instructor’s workload percentage from FACET by the total credit hours per course section obtained from the OMNI HR query. Similarly, we could calculate each instructor’s total fundable credit hours per course section by multiplying the instructor’s workload percentage from FACET by the total fundable credit hours for that course section obtained from the OMNI HR system query. We compared these calculated amounts with the instructor’s total student credit hours per course section and the instructor total fundable credit
hours per course section listed on the University’s file submitted to the BOG. We noted that all of the calculated amounts agreed with the amounts in the file submitted.

To ensure the University’s Workload Activity Table was accurately capturing FACET data, for each instructor in our sample of 50, we searched for his/her FACET certification form in the University’s FACET component in the OMNI HR system and reconciled the total contact hours per course section per funding source per instructor for all 50. Also for our sample of 50, we tested to ensure the University’s Workload Activity Table agreed with the Spring 2014 Courses Taken Report from the BOG SUDS database. We reconciled the total amount of credit hours and total amount of fundable credit hours for each course and section. The data in the Spring 2014 Courses Taken Report were generated by the BOG from data submitted by the University in its SIF File. We were provided with the University’s Spring 2014 Courses Taken Table, which is a portion of the SIF File submitted to the BOG, and reconciled the total fundable credit hours per course section in this file for each of our sampled items to the amounts in the BOG’s Spring 2014 Courses Taken Report.

EA File Testing

To test the expenditures reported in the EA file, we ran a query in the University’s OMNI Financials System for each year that was included in the metric’s calculation (academic years 2010-11, 2011-12, 2012-13, and 2013-14). We ran this query for all funds beginning with “1” and “2” (Education and General (E&G) funds and Medical School funds) for accounts beginning with “7” (expenditures). Accounts beginning with “78” and “79” were excluded from the original query data. These accounts are depreciation expense, gain/loss on sale of asset, and Capital Improvement Plan (CIP) facilities. Additional inclusions and exclusions were applied based on the BOG’s directions for the years audited. We reconciled the total expenses in the results of our queries to the total expenses submitted to the BOG and noted only immaterial differences, which were due to rounding. We also reviewed a Comparison Report from the BOG SUDS database that compares expenditures submitted in the OB File versus the EA File. Based on our analysis, we noted that there were no differences in the submitted expenditures.

Based on our testing, the University’s data submitted to the BOG for the Metric 3 Performance-Based Funding metric were complete and accurate, and in accordance with BOG guidance.

Metrics 4 (Six Year Graduation Rate for First-Time-in-College Students (Full-and Part-Time)) and 5 (Academic Progress Rate (Second Year Retention Rate with GPA above 2.0))

Metric 4 – Six Year First-Time-in-College (FTIC) Graduation Rate

According to the BOG definition for Metric 4, the calculation of this measure is performed as follows:

This metric is based on the percentage of first-time-in-college (FTIC) students who started in the Fall (or summer continuing to Fall) term and had graduated from the same institution
within six years. Students of degree programs longer than four years (e.g., PharmD) are included in the cohorts. Students who are active duty military are not included in the data. Source: State University Database System (SUDS).

The BOG’s Overview of Methodology and Procedures: Performance Funding Metrics – Retention and Graduation Rates indicates that this measure is based on the national standard graduation rate, which was created by the Student Right to Know Act of 1990. This Act established the graduation rate based on 150 percent of the normal time for completion of the program, which is six years for a four-year program.

The BOG creates annual Retention Files on student cohorts by year of entry to the University (from the Summer semester through the Spring semester). These cohorts are identified from cumulative University SIF File submissions and include data needed for the six-year graduation rate metric, including degree information from cumulative University SIFID submissions.

IR reviews the BOG-developed Retention File and provides any needed edits. To validate the data to be used for this metric, IR filters the cohort Retention File to identify FTIC students who were enrolled full time in their first semester and who are included in Student Right to Know Act reporting. The filtered data are reconciled to an independently developed IR database to identify any errors in the BOG’s FTIC cohort population and graduation data, and any needed corrections are submitted. The final approved file is submitted to the BOG by IR when its validations have been completed.

IR also develops the Retention Adjustment File, which it submits to the BOG. This file identifies students in the cohort who have since died, entered military service, had total and permanent disabilities, or left to serve with a Foreign Aid Service of the federal government (e.g., Peace Corps) or on religious missions. The file also identifies students who matriculated abroad during their first semester and are excluded from Student Right to Know reporting. These adjustments are used by the BOG to exclude these individuals from the cohort. There were 10 adjustments to the University’s 2008 FTIC cohort.

Retirement File Testing

Verification of the 2008 FTIC Cohort. We reviewed the file IR staff downloaded from SUDS 2008-14 cohort detail records, which were derived from the BOG Retention File and used to calculate this metric in the 2015 Performance-Based Funding Model. This file provided cumulative data on all 8,056 individuals who enrolled in the 2008-09 Academic Year including transfers, graduate students, and others who would not be included in the 2008 FTIC cohort. The file also includes graduation data on each student through Summer 2014. Data from the Summer 2008 SIF File and the Fall 2008 SIF File provide the information needed to identify the 2008 FTIC cohort population for the PBF measure. Data from SIFD submissions from Fall 2008 through Summer 2014 are also used to identify students in the 2008 FTIC cohort who completed degrees within six years. The original 2008 FTIC cohort data were from the University’s legacy system, which were subsequently converted into the University’s new Campus Solutions system, which is now the University’s system of record.
To validate the 2008 FTIC cohort used by the BOG for this measure, we first filtered the 2008-09 Academic Year Retention File to include only those students: (1) who started in the Fall (or summer continuing to Fall) term, (2) were admitted to the University prior to their high school graduation or were admitted for the first time and who have earned less than 12 hours after high school graduation, (3) were enrolled full time in their first semester, and (4) were identified as being included in Student Right to Know reporting, an analysis which returned 5,004 records. We reconciled this to an analysis prepared by IR and found no differences. We then used a query we developed in Campus Solutions and additional manual reconciliations and determined that the 5,004 records identified using BOG selection criteria for this measure agreed with corresponding University records.

Based on our analysis, we concluded that the 2008 FTIC cohort data used by the BOG from University SIF data relevant to this metric are materially correct.

Verification of Degree Earned. We further filtered the BOG 2008 FTIC cohort data to identify only those individuals in the cohort who earned degrees by the end of the 2014 Summer session. This filtering returned 3,953 records. We added degree information to our Campus Solutions query used to verify the 2008 FTIC cohort and identified 3,974 students who were reported to have earned degrees.

To validate the degree data used by the BOG for this measure, we reconciled the individual records in the BOG cohort file to our Campus Solutions query results. We determined that 3,912 of the 3,953 records in the BOG cohort file (99 percent) matched degree information we extracted from Campus Solutions. We reviewed the 41 BOG cohort file records that did not match Campus Solutions records and determined that all of these students had degrees and their inclusion in the BOG 2008 FTIC cohort was correct. Their absence in the Campus Solutions System was attributable to errors in conversion from the University’s legacy files to Campus Solutions. Corrections were subsequently made to the Campus Solutions records to show these degrees as being earned. We also identified six students included in our query results in Campus Solutions who earned degrees during the period but did not have corresponding degree records in the BOG cohort file. These differences appear to be due to the timing of the degree postings and were not material to the metric calculation.

Based on our analyses, we concluded that the data used by the BOG to develop the Six-Year Retention rate are materially correct and can be relied upon.

Metric 5 – Academic Progress Rate (Second Year Retention Rate with GPA Above 2.0)

According to the BOG definition for Metric 5, the calculation of this measure is performed as follows:

This metric is based on the percentage of first-time-in-college (FTIC students) who started in the Fall (or summer continuing to Fall) term and were enrolled full-time in their first semester and were still enrolled in the same institution during the Fall term following their
first year with a grade point average (GPA) of at least 2.0 at the end of their first year (Fall, Spring, Summer).

Source: State University Database System (SUDS).

The calculation of this Performance-Based Funding metric in the 2015 Performance-Based Funding Model uses two sets of enrollment data from sequential Fall SIF Files. The first year’s Fall SIF enrollment data are used to identify the first year cohort of full-time Fall (or Summer semester continuing to Fall) FTIC students. The second year’s Fall SIF File enrollment data are used to determine whether those individuals continued to be enrolled one year later and had cumulative GPAs of at least 2.0.

We evaluated the most recent two years of Fall SIF File enrollment data submitted to the BOG, which were for Fall 2013 and Fall 2014. We filtered the University’s Fall 2013 SIF File submitted to the BOG to identify the University’s FTIC students who started in the Fall 2013 (or Summer continuing to Fall 2013) term and were enrolled full time. The filtered Fall 2013 SIF File contained 6,103 records of students who comprised the Fall 2013 FTIC cohort. To compare these data to the University’s source data, we developed a query in the University’s Campus Solutions system following the BOG’s criteria for this metric, which returned 6,180 unduplicated cohort records. We reconciled the filtered Fall 2013 SIF File records to those in our Campus Solutions query results and identified 6,100 matching records (99.95 percent). We concluded that the three remaining students in the SIF File FTIC cohort who did not appear in the Campus Solutions query results were correctly included in the SIF File FTIC cohort. The 77 students in the Campus Solutions query results who did not appear in the SIF File FTIC cohort were not enrolled full-time in Fall 2013, and were correctly excluded from the filtered SIF File FTIC cohort.

We compared student records in the Fall 2013 SIF File FTIC cohort to the 2014 unfiltered SIF File to determine the number of SIF File FTIC cohort students who continued their enrollment into a second year. We identified 5,645 of the 6,103 students (92 percent) from the Fall 2013 SIF File FTIC cohort who continued their enrollment in Fall 2014.

We selected a sample of 60 from the 5,645 students who were retained in 2014 to determine whether their data in the Fall 2014 SIF File that were used in the BOG’s GPA calculation were in agreement with corresponding information in the University’s Campus Solutions system. Using a Campus Solutions query we developed, we were able to return data for each of these students corresponding to the data elements used by BOG for its GPA calculation. For each student, we were able to match their data in our SIF File sample to that in Campus Solutions. There were no exceptions.

Based on our analyses, we concluded that the data used by the BOG to develop the University’s one year retention rate are materially correct and can be relied upon.

Metric 7 (University Access Rate (Percent of Undergraduates with Pell Grants))

The calculation of this measure is to be done as follows, according to BOG definitions:
This metric is based on the number of undergraduates, enrolled during the Fall term, who received Pell grants during the Fall term. Unclassified students, who are not eligible for Pell grants, are excluded from this metric.

Source: State University Database System (SUDS).

According to the BOG’s Overview of Methodology and Procedures for the Performance Funding Metrics: University Access Rate (Percent of Undergraduates with a Pell Grant) publication:

The U.S. Department of Education (USDOE) reports data for the ‘Percent of Undergraduate Students Receiving Pell Grants’ online at the Integrated Postsecondary Education Data System (IPEDS) website. However Board staff decided not to use the IPEDS data for this metric...

In its stated reasoning for this decision, the BOG expressed that:

Since there is funding attached to the data, Board staff felt it was preferable to calculate the percentage of undergraduates receiving Pell grants using the student level data that is available in SUDS rather than using the aggregated data that universities report to IPEDS.

Furthermore, Board staff had concerns regarding the methodology used by IPEDS to generate the percentage of undergraduates who receive Pell grants:

In IPEDS, the numerator is based on the number of students who received a Pell grant anytime during a particular academic year. Alternatively, the denominator is based on the students enrolled during the Fall term—including unclassified students who are not seeking a degree and therefore are not eligible for financial aid. Furthermore, the IPEDS Financial Aid survey imports the total headcount denominator from their Fall Enrollment survey. Due to the IPEDS schedule for data submissions, the institutions within the State University System of Florida use the preliminary Student Instruction File (SIF) data when reporting the total Fall enrollment counts on the Fall Enrollment survey. So, the denominator that IPEDS uses to calculate the percentage of undergraduates who received a Pell grant is based on preliminary data.

BOG staff, in contrast, queries the Financial Aid Awards table within SUDS to identify all students who received Pell grants during the Fall term to establish the numerator for this Metric 7. For the denominator, Board staff identifies all degree-seeking undergraduate (both lower and upper division) students enrolled in the Fall term based on the SIF File. Unclassified students are excluded because they are not eligible for financial aid. In addition, the number of post-baccalaureate students who are coded as upper-division undergraduates by semester are removed from the denominator because post-baccalaureate students are not eligible for Pell grants.

To validate the University’s processes for submitting the data that underlie this measure, we reviewed the 2014 Fall SIF File and the 2014-15 SFA File.
SIF File Testing

This measure uses specific fields in the SIF File to identify students meeting the criteria to be included in the Fall term undergraduate cohort.

For our testing, the data used to produce the University’s Fall 2014 SIF File that IR staff submitted to the BOG resided in OBIEE. The SIF File submitted consisted of Main, Law Student, and certain Add-on enrollment student records. The file contained a total of 41,737 uniquely identified student records. To identify undergraduates in this file who met the criteria used by the BOG to help calculate Metric 7, we developed Microsoft Access queries. There were 32,583 records corresponding to undergraduate students enrolled in the Fall 2014 semester who were not unclassified students. This number represents the denominator for Metric 7, (i.e., all degree-seeking undergraduate (both lower and upper division) students enrolled in the Fall term based on the SIF—excluding unclassified students who are not eligible for financial aid, and post-baccalaureate students).

SFA File Testing

The SFA File submitted to the BOG is generated by Office of Financial Aid (OFA) staff, in partnership with IR and Information Technology Services. OFA provided to us the steps used to build SFA Files to be submitted to the BOG—specifically, the steps used in producing the 2014-15 SFA File submitted to the BOG on October 14, 2015.

We obtained from OBIEE the 2014-15 SFA File data submitted to the BOG, which includes a line for each type of financial aid award—by student and by semester—for all semesters during the academic year, for a total of 156,976 records. To isolate the data in this file relevant to Metric 7, we developed Microsoft Access queries to eliminate duplicate records and, using demographic data, we identified 9,146 individual undergraduate students receiving Pell grants during the Fall 2014 term.

To further refine these data for Metric 7, we obtained in OBIEE the University’s SIF 2014 Fall Enrollment File data submitted to the BOG and, using a Microsoft Access query, we identified all undergraduate students enrolled during the Fall 2014 term, excluding unclassified students. We then ran a Microsoft Access query to determine which of these individuals matched the 9,146 individual undergraduate students receiving Pell grants during the Fall 2014 term in our SFA data file. This analysis yielded 9,115 undergraduate students enrolled for the Fall 2014 term receiving Pell grants during that term. This number represents the numerator for Metric 7.

The University’s record of source for Financial Aid data for 2014-15 is the Campus Solutions system. Using an existing SFA query in Campus Solutions, we were able to identify in Campus Solutions all 9,115 students identified in our analysis above. We compared Pell award amounts for the students in the Campus Solutions system to the award amounts from our OBIEE analysis. We were able to reconcile the award amounts for all 9,115 students in both data sources.

Based on our testing, the University’s data submitted to the BOG for the Metric 7 Performance-Based Funding metric were complete and accurate, and in accordance with BOG guidance.
Metric 9 (Faculty Awards (FSU’s Choice of Board of Governors’ Choice Metrics))

Metric 9 is the number of awards faculty have earned in the arts, humanities, science, engineering, and health fields as reported in the Top American Research Universities (TARU) Annual Report. Twenty-three of the most prominent awards are considered, including those from the John Simon Guggenheim Memorial Fund, National Endowment for the Humanities, National Science Foundation, and the J. William Fulbright Foreign Scholarship Board, to name a few.

The Center for Measuring University Performance (CMUP), a “research enterprise focused on the competitive national context for major research universities,” publishes the TARU Annual Report. The CMUP determines the Top American Research Universities by ranking nine different measures: Total Research, Federal Research, Endowment Assets, Annual Giving, National Academy Members, Faculty Awards, Doctoral Degrees, Postdoctoral Appointees, and Median SAT scores.

The TARU report is the source used by the BOG to determine and report the number of faculty awards achieved for Metric 9. Faculty Awards are one of two institution-specific choice measures and are the Board of Governors’ Choice Metric for Florida State University and the University of Florida.

The audit objective for this metric was to determine whether the number of faculty awards shown in the TARU Annual Report agrees with the number of awards reported in the Board of Governors’ System Accountability Report. We determined the number of Florida State University faculty awards shown in the TARU Annual Report issued by the CMUP agrees with the number of awards most recently reported by the BOG in its Annual System Accountability Reports, as follows:

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<tbody>
<tr>
<td>Applicable Fiscal Year for Awards</td>
<td>2011</td>
<td>2011</td>
<td>2012</td>
<td>2012</td>
</tr>
<tr>
<td>Number of Awards Reported</td>
<td>11</td>
<td>11</td>
<td>7</td>
<td>7</td>
</tr>
</tbody>
</table>

Note: The TARU Annual Report for 2014 is not yet available.

In our March 2015 PBF report, we noted letters of award or notifications received at Florida State University could not be matched with awards reported by the CMUP because the CMUP reports to the BOG only the numbers of faculty awards and does not report to the BOG the names of the award recipients. To address this issue, we made a recommendation, and the Office
of Faculty Recognition followed through to initiate contact with the CMUP, to request the names of faculty award recipients by year. As a result of such contact, the Office of Faculty Recognition can now additionally provide assurance that the number of faculty awards shown in the TARU and BOG reports, and now also provided by the CMUP to the University by name for each year, is independently supported by letters of awards or notifications directly received by Florida State University from the faculty members and/or respective award granting organizations.

In addition, in response to recent inquiries to the CMUP, we were informed that faculty awards attributed to Florida State University are tentatively identified as being 2, 5, and 9 for TARU reporting years 2013, 2014, and 2015, respectively. While the numbers of awards for these reporting years have not been publicly reported by the BOG, they are important for the BOG’s and the University Board of Trustees’ information and consideration. We expect faculty awards tentatively identified by the CMUP for 2013-2015 to be subsequently reported by the BOG in its Annual Accountability Reports, for our verification. With internally received information from faculty, reports from the CMUP to the University identifying faculty award recipients by year and by name, and with reporting of faculty awards by the BOG by number, the Office of Faculty Recognition has much improved the verification and reconciliation process.

Also, in discussions with the Director of the Office of Faculty Recognition, we were told the Office has partnered with IR to develop a Share-Point site that will document the faculty awards verification process. The site and related processes will be used to account for, monitor, and reconcile awards reported directly to the University and awards reported in the TARU Annual Reports. We have reviewed the site, which was fully operational at the end of the 2015 Spring semester.

In summary, we concluded the numbers of faculty awards reported by the Center for Measuring University Performance in the Top American Research Universities Annual Reports are in agreement with faculty awards reported for this Performance-Based Funding metric in the Board of Governors’ Annual System Accountability Reports.

Metric 10 (National Rank Higher than Predicted by the Financial Resources Ranking Based on U.S. News and World Report)

Metric 10 is based on rankings reported by the U.S. News and World Report (U.S. News), a multi-platform publisher of news and information, which includes www.usnews.com and www.rankingsandreviews.com. The U.S. News publishes annual print and e-book versions of its authoritative rankings of Best Colleges and Best Graduate Schools.

Metric 10 is one of two institution-specific choice measures and this metric is the FSU Board of Trustees’ Choice Metric. According to the BOG’s 2014 Performance-Based Funding Model Final Data Publication, Metric 10 is defined as “the difference between the Financial Resources rank and the overall University rank. U.S. News measures financial resources by using a two-year average spending per student on instruction, research, student services, and related educational expenditures – spending on sports, dorms and hospitals doesn’t count.”
The table below shows, from U.S. News Best Colleges Ranking Reports, data on Financial Resources Rankings versus National Universities Rankings for Florida State University, and the differences between these rankings (i.e., values for this Metric 10), for the last six years.

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<tbody>
<tr>
<td>2011</td>
<td>2010</td>
<td>2009</td>
<td>209</td>
<td>104</td>
<td>105</td>
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<td>2012</td>
<td>2011</td>
<td>2010</td>
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<tr>
<td>2016</td>
<td>2015</td>
<td>2014</td>
<td>210</td>
<td>96</td>
<td>114</td>
</tr>
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</table>

The U.S. News 2016 edition shows the University’s Financial Resources Rank as 210. When the National Universities Rank of 96 is subtracted from that number, the difference of 114 is significant. This difference, which is the Metric 10 value, measures the University in terms of its resources received as compared to its national ranking. A large difference represents an efficient university.

To help place this metric in perspective, the University’s Data Administrator provided additional tables and graphs that show that the 114 point difference between the University’s Financial Resources Rank of 210 and the National Universities Rank of 96 for 2016 places the University in the 99th percentile. This is 58 points above the 90th percentile and 89 points above the 75th percentile. The Metric 10 values shown above for the last six years show stability, which should remain as long as efficiency data continue to be reported.

The U.S. News has published additional data on the top-ranked colleges, according to its Best Colleges Rankings, that operate most efficiently. It defines operating efficiency as a college’s fiscal year financial resources per student divided by its overall score, which is made up of several categorical rankings.

The table below shows U.S. News Efficiency Rankings for Florida State University for the last three years.

<table>
<thead>
<tr>
<th>U.S. News Reporting Year</th>
<th>Fiscal Year Fall Statistics for:</th>
<th>U.S. News National Universities Rank</th>
<th>Overall Score</th>
<th>Financial Resources Rank</th>
<th>Spending per Student for Each Point in the U.S. News Overall Score</th>
<th>National Rank for Efficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td>2012</td>
<td>91</td>
<td>50</td>
<td>211</td>
<td>$355.32</td>
<td>1st</td>
</tr>
<tr>
<td>2015</td>
<td>2013</td>
<td>95</td>
<td>47</td>
<td>214</td>
<td>$392.77</td>
<td>2nd</td>
</tr>
<tr>
<td>2016</td>
<td>2014</td>
<td>96</td>
<td>45</td>
<td>210</td>
<td>(1)</td>
<td>2nd</td>
</tr>
</tbody>
</table>

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Note (1): U.S. News had not issued its 2016 Reporting Year data showing spending per student at the time of this review. The University Data Administrator calculated the 2016 amount as $431.76 per student as an estimate of spending expected to be reported by U.S. News.

The U.S. News reported that its national ranking for efficiency indicates a school’s ability to produce the highest education quality while also spending relatively less on education programs to achieve that quality. Also, to be ranked schools had to be numerically ranked in the top half of the U.S. News ranking category in the Best Colleges annual rankings. Based on this calculation, the University received a ranking for efficiency of 1st, 2nd, and 2nd nationally for 2014, 2015, and 2016, respectively.

The purpose of the above table is to show that, as currently calculated, U.S. News views the University as very efficient. At this time there is no assurance that U.S. News will continue to publish articles on this measure; however, there is evidence, based upon the above two tables, that the University will continue to strive to be efficient.

In sum for Metric 10, we reviewed copies of the U.S. News and World Report Best Colleges Rankings Reports and U.S. News Historical Rankings for Florida State University, provided by the FSU Institutional Research Office. Using these sources for the most recent data, the 2015 Metric 10 (National Rank Higher than Predicted by the Financial Resources Ranking Based on U.S. News and World Report) value of 119 reported by the BOG in its 2013-14 System Accountability Report, updated as of March 2015, is consistent with the difference between the Financial Resources Rank of 214 and the National Universities Rank of 95 reported by U.S. News for 2015. While we did obtain U.S. News 2016 Reporting Year data, at the time of our review the BOG had not issued a report with more recent Metric 10 data.

We did note that the BOG’s 2013-14 System Accountability Report, updated as of March 2015, shows the Metric 10 score for 2014 as 115. That number is incorrect and should have been reported as 120. By using a score of 115, the University was credited with a four percent change (increase in efficiency) when compared to 2015. If the correct score of 120 had been shown for 2014, the University would have recognized a .84 percent change (a minor decrease in efficiency) for 2015. However, there was no consequence, as FSU attained 10 points on the metric based on its criterion score performance.

**Conclusion for Objective #5:**

*Based on our data accuracy testing for the University’s 10 Performance-Based Funding metrics, we determined the University’s data submitted to the BOG were complete and accurate, and in accordance with BOG guidance.*

**Recommendations:**

We have no recommendations for this Objective #5, which addresses the completeness and accuracy of data file submissions to the BOG for Performance-Based Funding Metrics 1 through 10.
Objective #6: Determine the current status since our conclusion in the previous PBF audit concerning the consistency of data submissions with the data definitions and guidance provided by the BOG through the Data Committee and communications from data workshops.

In the prior audit we concluded that:

We found no evidence that the University’s data submissions to the BOG, specifically those pertaining to data elements germane to this audit, were inconsistent with BOG reporting requirements for these data elements, and no files were resubmitted to correct or change data in these fields.

Findings:

University Data Administrator certifications to the BOG regarding University file submissions were executed as memos prior to the tenure of the current Data Administrator. With the introduction of SUDS, each electronic submission of a file (wherein the userid for the submitter and a timestamp were captured in the SUDS interface) was considered sufficient evidence of certification of the file. Effective January 15, 2015, the BOG IRM staff updated the SUDS interface to include a statement that submitting the file “represents electronic certification of this data per Board of Governors Regulation 3.007.”

We determined there is ample evidence that University data are being mapped to the current BOG data elements as defined in the SUS Data Dictionary [link]. The University Data Administrator demonstrated that sufficient personnel have been consistently attending the Annual Data Administrators’ Workshops. The new scoping and reporting methodology developed by the Office of Institutional Research has led to an institutional review of all the data elements from Campus Solutions that are required by the BOG for its reports. The scoping and mapping exercises usually involved more than one person from each of the key constituencies: IR, the data warehouse and reporting team, and the Campus Solutions technical and functional teams. These discussions frequently involved validating output data from sample cases with live transactional data. At all times, there was someone available in the room or via electronic media who was able to define the context and constraints of the data for each data element. Questions about BOG interpretations were discussed with the BOG staff and with IR directors at other SUS institutions.

Additionally, the University Data Administrator provided evidence of requests sent to the BOG for clarification of BOG SUDS data elements and of requests sent to FSU subject-matter experts to reinforce BOG interpretations. The University Data Administrator demonstrated a largely automated online (SharePoint) tracking tool for data submissions and resubmissions. Using that information source, concerning data elements that are germane to this audit there was no evidence of inconsistency with BOG requirements in the reporting of these and no files were resubmitted to correct or change data materially in these fields, as discussed in Objective #7, to follow. Finally, our testing of data accuracy for Objective #5 included certain tests of the University’s adherence to BOG guidance for the data, and we noted no inconsistencies.
Conclusion for Objective #6:

We found no evidence that the University’s data submissions to the BOG, specifically those pertaining to data elements germane to this audit, were inconsistent with BOG reporting requirements for these data elements, and no files were resubmitted to correct or change data in these fields.

Recommendations:

We have no recommendations for this Objective #6.

Objective #7: Determine the current status since our conclusion in the previous PBF audit concerning the University Data Administrator’s data resubmissions to the BOG that: “We determined that resubmissions by the University have been very rare, are both necessary and authorized, and have had minimal to no effect on the University’s Performance-Based Funding metrics.”

Findings:

The University Data Administrator was asked to describe the resubmission process in general and as it relates to the data elements in this audit. He reported that there are three triggers for resubmissions: 1) the BOG staff determines that the way the institution is interpreting or reporting data is either incorrect or inconsistent with the way most of the other institutions are interpreting the requirements; 2) University staff determines there are inconsistencies with data in a current file that have to be cross-validated with data on an earlier submission of a different file (e.g., SFA File cohort must match SIF File cohort for the same term), requiring resubmission of the earlier file; 3) University staff finds new ways to improve on the granularity of data being submitted and they choose to apply the new understanding or method to a previously-submitted file.

From the BOG’s SUDS system, we searched for files with due dates between July 1, 2014 and June 30, 2015 and found that the University submitted 27 files to the BOG and resubmitted only two of these files. The first resubmitted file was the 2013-14 Hours to Degree File. This file is not used in the calculation of any of the University’s Performance-Based Funding metrics. The second resubmitted file was the Fall 2014 Student Instruction File. The resubmission was due to a data formatting issue, which did not affect the calculation of any of the University’s Performance-Based Funding metrics. For a more in-depth analysis of more current file resubmissions and reasons for these, also using the SUDS system, we noted the University submitted eight files from July 1, 2015 through September 30, 2015, and only one resulted in a resubmission. This resubmission was the Summer 2015 Admissions File. Upon loading the files to the data warehouse, IR realized that the high school graduation data values had all moved down one row. The file was resubmitted four days later and did not have an effect on the University’s Performance-Based Funding metrics, as the resubmission was made in a timely manner.
Conclusion for Objective #7:

We determined that resubmissions by the University have been very rare, are both necessary and authorized, and have had minimal to no effect on the University's Performance-Based Funding metrics.

Recommendations:

We have no recommendations for this Objective #7.

Objective #8: Provide an objective basis of support for the University's President and Board of Trustees Chair to sign the representations made in the Performance-Based Funding - Data Integrity Certification.

Findings/Conclusion for Objective #8:

Overall, we concluded that the University has adequate processes for collecting and reporting Performance-Based Funding metrics data to the Board of Governors. In addition, we can provide an objective basis of support for the University's President and Board of Trustees Chair to sign the Performance-Based Funding – Data Integrity Certification which the BOG requested to be filed with it by March 4, 2016. We have one recommendation for improvement for which management has agreed to take appropriate action and for which an action plan is attached.

Recommendations:

We have no recommendations for this Objective #8.
Acknowledgements

An action plan was developed by management to address our one recommendation.

We would like to acknowledge the full and complete cooperation and support of all involved University faculty and staff, and especially the assistance of Dr. Richard Burnette III, the Florida State University Data Administrator.

Respectfully submitted,

Sam M. McCall, Ph.D., CPA, CGFM, CIA, CGAP, CIG
Chief Audit Officer

President's Response

We thank the Office of Inspector General Services staff for their thorough report. The Provost and the Vice President of Finance and Administration will oversee the timely implementation of the action plan.

John Thrasher, President

Audit conducted by: Kitty Aggelis, CIA, CGAP, CRMA
Janice Foley, MBA, CPA, CISA, CFE, CRMA, CIG
Heather Harrell, CPA
Sam M. McCall, Ph.D., CPA, CGFM, CIA, CGAP, CIG
Carolyn Williams-Lawyer, CISA

Audit reviewed by: Kitty Aggelis
Janice Foley
Heather Harrell

With assistance from: Rachel Glaser (OIGS Intern)
### Appendix A - Management's Action Plan

<table>
<thead>
<tr>
<th>Action Steps</th>
<th>Responsible Employee(s)</th>
<th>Target Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. University administrators will continue to routinely monitor the timeliness of the University’s file submissions to the BOG and take proactive measures to resolve any delays. It is anticipated that there will be a reduction in the number of days late for future file submissions. The ultimate goal is to submit all required files to the BOG on time.</td>
<td>Rick Burnette</td>
<td>August 1, 2016</td>
</tr>
</tbody>
</table>