

FLORIDA STATE UNIVERSITY
BOARD OF TRUSTEES
MEETING MINUTES

January 19, 2018
12:30 pm

Florida State University Panama City
4750 Collegiate Drive
Seminole Room A
Panama City Florida

Members Present: Todd Adams, Max Alvarez, Kathryn Ballard, Ed Burr, Billy Buzzett, June Duda, Jorge Gonzalez, Jim Henderson, Mark Hillis, Bob Sasser, Brent Sembler and Kyle Hill

I. CALL TO ORDER AND WELCOME

Mr. Ed Burr, Chair

Chair Burr called the meeting to order at 12:30 pm. Lynna Sands conducted the roll call.

II. APPROVAL OF MINUTES (ACTION)

The September 22, 2017, meeting minutes were approved as presented.

III. PUBLIC COMMENTS

No public comments were available.

IV. PRESIDENT'S COMMENTS

Mr. John Thrasher, President

President Thrasher began by expressing how happy he was to be at such a dynamic and active campus. He noted that a lot of exciting things are happening on the Panama City Campus.

He welcomed the new board members, Jim Henderson and Jorge Gonzalez. He also congratulated Trustee Ballard on her reappointment to the Board.

The President then shared a video that he had previously presented at his State of the University address. FSU can be proud of what we have accomplished.

He went on to discuss the recently released rankings of a variety of FSU programs.

He went on to discuss the loss of Andrew Coffey at an off-campus fraternity party. This event continues to have ripple effects on campus. He unequivocally stated that this will be a catalyst to change the culture on our campus. We are developing new policies and procedures to support our students and bring about a cultural shift on campus.

The SUS Board of Governors meeting will be hosted by FSU in Tallahassee next week. We will look forward to sharing with them all that FSU is doing. The President specifically mentioned and discussed that FSU will host a panel discussion on business development that will include a local business leader and Dr. Susan Fiorito, Director of the Jim Moran School of Entrepreneurship.

The President noted that the Florida Legislature began last week and we are making a total request of \$90M to support all of our activities. He noted that FSU is also requesting \$75M for new facilities. These resources are necessary to maintain the excellence of FSU and this will help us as we continue to work toward being in the top public universities 25. Our lawmakers know that FSU is one of the most efficient universities in the country.

FSU Day at the Capitol will be Feb. 6th and he invited everyone to join us.

The President also discussed his recent trip to Palm Beach for a fun-raiser for the renovation of the FSU Seminole Golf Course.

President Thrasher concluded by letting the Board know that there is a lot of excitement at FSU. He thanked the Chairman for his leadership and help at FSU. He concluded by acknowledging his staff and their efforts to make FSU an outstanding university.

V. FSU PANAMA CITY UPDATE

Mr. Randy Hanna, Dean, FSU Panama City

Dean Randy Hanna provided an update on FSU Panama City including introducing Mr. Antonio Lopez, Jim Moran of Entrepreneurship Panama City, started Grizzly Brew Coffee Company.

Dean Hanna briefed the Trustees on the new development of companies in northwest Florida including GKN Aerospace which will bring 170 jobs to the area and will have a huge economic impact to the area. Mr. Glen McDonald, Dean's Council and Vice President of Florida Gulf Coast and Becca Hardin, Economic

Development Alliance both spoke of the benefit of the partnership with FSU Panama City.

Dean Murray Gibson announced the Mechanical Engineering program will be offered at the FSU Panama City in Fall 2018.

VI. CONSENT ITEMS

- A. Requesting Approval of the Proposed new University Regulation FSU-5.099 Development, Approval, Termination, and Suspension of Degree Programs
- B. Requesting Approval of the Proposed repeal of University Regulation FSU-5.095 Instructional Systems Development Center
- C. Requesting Approval of the Proposed repeal of University Regulation FSU-6.006 Florida State University Imprimature
- D. Requesting Approval of the Proposal to Implement Bachelor of Science in Neuroscience
- E. Requesting Approval of the Proposal to Implement Master of Arts in East Asian Languages and Cultures
- F. Requesting Approval of the Proposal to Implement Master of Science in Systems Engineering
- G. Requesting Approval of the Proposal to Implement Master of Science in Law Enforcement Intelligence
- H. Requesting Approval of the Proposal to Explore Bachelor of Science in Financial Planning and Services
- I. Requesting Approval of the Professional Communication Degree Limited Access
- J. Requesting Approval of the Retail Merchandising and Product Development Degree Limited Access
- K. Requesting Approval of the Neuroscience Degree Limited Access
- L. Requesting Approval of the Campus Master Plan Minor Amendment

Trustee Henderson moved to approve Consent Items A-L. Trustee Hill seconded the motion and was approved unanimously.

VII. NEW BUSINESS

A. University Advancement

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

Vice President Tom Jennings provided a University Advancement update that included the Raise the Torch Campaign status with a 163 days remaining in the campaign.

FSU Panama City has raised \$9.1M toward their \$10M campaign goal. The original goal was \$5M and was increased after exceeding the \$5m goal Fall 2016. A few of the notable gifts/donors from the Panama City community include:

- Bob & Judy Fleming - \$3M estate gift to establish an endowed scholarship for the first generation students; largest gift in campus history.
- Earldine Ankiewicz – passed away last year and left a \$1M estate gift to establish an endowed scholarship for education and business students.
- John and Gail Robbins - \$500,000 to name and support the Center for Academic Excellence & Innovation.
- Jim and Sandy Dafoe -- \$400,000 estate gift to establish endowed scholarship
- St. Joe Community Foundation – St. Joe President Jorge Gonzalez and recently named FSU Trustee. Incredible support from St. Joe Community Foundation to FSU Panama City – more than \$1M since 2000, half of which has been received during the Raise the Torch campaign. Provided one of the lead gifts for FSU PC at the public launch of the campaign -- \$300,000 to the Endowment for the College of Applied Studies. In 2017 Jorge and Pamela made a personal commitment to fund an endowed scholarship at FSU Panama City.
- Jim and Jan Cook - \$100,000 to establish an endowment for the STEM Institute, which introduces programs to increase interest in STEM among K-12 students and links university students to high school students who are considering a career in STEM
- George Butchikas Foundation for Autism - \$100,000 to continue supporting the Early Childhood Autism Program and provide funding to continue expanding the clinic (board will visit during progressive lunch tour)
- FY17 the highest numbers of unique donors and new donors of any year during FSU PC's campaign:
 - 27% increase in unique donors in FY17 over the average number from FY11-FY16
 - 55% increase in new donors in FY17 over the average number from FY11-FY16
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University Advancement Upcoming Events

- April 13 & 14 – Joint DSO Board Retreat
- June 30 – Campaign Ends
- September 21 – Campaign Celebration
- April-August – DSO Campaign Analysis and Post-Campaign Planning

University Endowment as of Sept. 30, 2017

- Total: \$657.4 million (\$657,478,228) – highest ever!
- FSU Foundation: \$491.1 million (\$491,333,164)
- Boosters: \$63.5 million (\$63,590,819)
- Research: \$100.5 million (\$100,565,335)
- Ringling: \$1.9 million (\$1,988,910)

FSU Foundation

- FSU's Great Give: March 22-23, 2018
 - Annual, 36-hour online fundraising campaign.
 - 2015: \$163,320 (1,234 donors) 2016: \$208,549 (1,729 donors) 2017: \$337,814 (2,275 donors)
- CRM Alumni/Donor Database Updates:
 - 912,760 total records
 - 342,268 Living Alumni
 - 139,760 Organization
- Donor Stewardship – Endowed fund reports mailed
- Student Scholarship Process – Academic Works
- New Foundation Building – Summer 2018

FSU Alumni Association

- Membership above 25,000 with 75% retention rate
- New Young Alumni Council created
- Circle of Gold, Spring Induction - April 14
- Noles in New York events - May 7-10
- Seminole Clubs: best in class support/controls
- Latest Vires Magazine has hit mailboxes featuring Moran School and interview with alumnus Todd Combs of Berkshire Hathaway

Seminole Boosters

- Jan. 14 - Golf fundraising event in S. Florida
- Feb. 3 - Softball Kickoff Dinner
- Feb. 7 - FSU Signing Day Party
- Feb. 15 - Baseball Leadoff Dinner
- July 22-25 - Highlands NC Golf events

FSU Real Estate Foundation

- Gateway District - Local Agency Vote on March 1
- Managed \$14M+ in real estate transactions during past 12 months
- Transactions totaling \$2.6M currently in process
- REF/FSU efforts featured in 850 Magazine and Florida Trend Magazine

Federal Tax Changes and Giving

- Doubling of the Standard Exemption
- Doubling of the Estate Tax Exemption
- Removed Deduction on Gifts for Athletics Priority Seating
- Cap on gifts of cash increased from 50% to 60% of AGI.

- Excise Tax on Private Universities with Endowments in excess of \$500,000/student (32 institutions...not FSU)
- Excise Tax on Compensation over \$1M

B. Academic Affairs

Dr. Janet Kistner, Vice President for Faculty Development and Advancement

Dr. Kistner introduced Dr. Joe O'Shea, Assistant Provost and Dr. Rick Burnette, Associate Vice President for Academic Affairs, to provide the Academic Affairs Update.

The Academic Affairs update covered several topics and new initiatives, including: Student Success, Admissions and Recruitment, Strategic Investments, Faculty Hiring, and Faculty and Program Excellence.

Student Success

FSU continues to be recognized as a national leader in student success.

The 2017 retention rate of 94% is the highest in FSU history and among the top 15 in the nation.

FSU has erased graduation gaps between our different demographic groups, and we are the highest-ranked public university to have this distinction.

The definition of student success has expanded over the years, from focusing on access, to retention, to graduation rates, and now on post-graduation outcomes (e.g., employment rates, further education, and median salaries). FSU and the state of Florida are leaders in focusing on post-graduation outcomes.

Focusing on students' post-graduate outcomes gives FSU a chance to become one of the most diverse and robust talent pipelines in the nation. To do so, the university will need to reimagine the talent development possibilities of public higher education, and develop new models, approaches, and partnerships.

However, in the U.S., disparities in participation in career-building experiences, like internships, undergraduate research, and international study, persist—particularly among underrepresented students, including transfer students.

FSU is deploying a four-part strategy to narrow the participation gap: Overcome information barriers/increase awareness; Integrate experiential learning into the curriculum; Develop new, low-cost models (e.g., Amazon Work Study Partnership, FSUshadow, and InternFSU); and Increase financial assistance for students.

The early result of our efforts across the university appears to be having results, with FSU students reporting higher level of satisfaction with their decision to attend FSU than their peers at other universities report.

Admission Update

We have received a record number of nearly 50,000 freshman applications so far this year. This reaffirms our strong market position and demand for FSU education. CARE also has a record number of applications. Graduate school applications are also up for the year. To build on these efforts, we are hiring a team of recruiters to bolster FSU's national and international graduate recruitment.

Class Size

Reducing class size is one of the key areas for student success and national rankings. Expanding on new faculty hires, we are hiring additional instructors and developing new, smaller courses. One example is reducing the size of calculus courses, providing more formative learning experiences for students.

Faculty Hiring Update

We have undertaken the largest faculty hiring initiative in the history of Florida State. We started with the authorization of 125 new faculty positions to start in Fall 2018. This is a bold and challenging undertaking as we are recruiting some of the leading faculty from around the world. These faculty were identified based on how effectively they would address key metrics like class size, student success, research productivity, and effects on program reputation. We are already attracting and hiring some of the strongest candidates in the country.

Faculty Hiring Update

Some of FSU's recent faculty hires include:

- Barbara Culliton is an internationally recognized member of the National Academy of Medicine for her work in science journalism,
- Sylvie Naar brings millions of research dollars with her to the College of Medicine, and
- Jada Brooks, a rising researcher in Nursing and community health.

We will be providing more details at later meetings.

Faculty Excellence

Trustee Adams and five of his faculty colleagues were recently named to the American Association for the Advancement of Science in recognition of their contributions to science and technology, scientific leadership and extraordinary achievements across disciplines. So, at the same time FSU is

recruiting top faculty from around the world, we are also cultivating our own top faculty.

We also have four faculty who are winners of the National Science Foundation's Early Career Development Program. We are early in this process, but we have 8-10 additional faculty being considered for this award. This is one of the most prestigious awards for early career faculty.

Kiplinger's Rankings

FSU was identified as one of Kiplinger's Best College Values.

FSU was deemed to offer a top-notch education for the money. FSU is in good company as the institutions above FSU on this list are among the most recognized public universities in the country.

In the State of Florida, we have some of the lowest college costs in the country. However, what differentiates FSU is the quality of our academic programs and student success.

What is remarkable is that even with lower tuition rates and fewer financial resources than most of our national peers, we are able to deliver some of the top student graduation rates in the country.

We are consistently listed in the top two most efficient universities in the nation, and this ranking reflects our ongoing efforts to be the best stewards of the resources we have. We provide a great return on investment for students and the State of Florida.

Online Programs

We have more good news related to online learning. The State University System is now a member of NC-SARA, a consortium agreement that allows us to expand our national online programs.

Several of our programs are highly ranked in the US News Rankings of Online Graduate Programs:

- Business (Management Information Systems/Risk Management and Insurance): 6th among all/5th among publics
- Criminal Justice: 7th among all/3rd among publics
- Information Technology: 10th among all/7th among publics
- Education: 13th
- Online MBA: 16th

Rankings

The Center for World University Ranking is based on the research productivity of programs around the world.

FSU's Criminology program ranked #1 in the world. FSU ranked #6 for Social Psychology, and #8 for Education/Educational Research.

Additionally, the Sport Management Master's Degree is ranked #1 in the nation by a leading publication in their field.

These rankings provide some recognition for the various programs on campus that are striving every day to make gains and improve the reputation of Florida State University. This also provides ammunition for shaping our institutional brand.

Branding Update

FSU continues our branding initiative. The strategic plan asks us to “promote and enhance FSU’s reputation.” Specifically, the plan challenges us to create and disseminate “a global identity for FSU that reflects the university’s impressive academic strengths and achievements.”

BVK, a Top 25 national branding firm, has been hired to help FSU craft and test branding, key narratives, and strategies. The branding initiative will be in development for the next several months.

C. Athletics

Mr. Karl Hicks, Deputy Athletic Director for External Operations

Mr. Karl Hicks provided the Athletics update.

Athletics/Fall Sports Update

Football

- 36 straight bowl appearances (NCAA record)
- 41 consecutive winning seasons (NCAA record)
- Willie Taggart named head coach

Volleyball

- 9th consecutive appearance in NCAA Tournament
- Coach Poole surpassed 800 career wins

Men's Golf

- 1st place finish at Doc Gimmler Invitational
- Harry Ellis co-champion at Marquette Intercollegiate

Soccer

- Reached 3rd round of the NCAA Tournament (12th time in the last 13 years)
- Deyna Castellanos named second team All-American

Cross Country

Women

- Militsa Mircheva won three ACC Performer of the Week & one National Performer of the Week honors.
- Finished 4th at the NCAA South Region Championships

Men

- Michael Hall qualified for individual NCAA Championships
- Finished 4th at the NCAA South Region Championships

Baseball

- New, larger scoreboard/screen is currently being installed.

Tucker Center Improvements

- Jim Owens Courtside Lounge

Academics

- Athletic Department cumulative GPA by year
 - 2015-2016 – 2.963
 - 2016-2017 – 2.993
- Top three teams with highest increase in cumulative GPA
 - Women – Volleyball – 3.30, Cross Country – 3.27, Track & Field – 3.12
 - Men – Basketball – 2.53, Football – 2.46, Golf – 2.98

Student Services

- SLS 1261: Student Development & Leadership Strategies

- REAL Men (Reliable Educated Approachable Leaders)
- LYFE (Leaders Yearning for Excellence)
- Community Service

On Deck

- Golf Course Redesign
- Softball Facility Improvements
- ACC Network Infrastructure/build-out

D. Student Government Association

Ms. Stacey Pierre, Vice President of Student Government Association

Ms. Stacey Pierre provided a Student Government Association update which included highlighting some of the fall events sponsored by the various student unions.

- Over 50 events were hosted
- Collaborated on two events focused on social change
- HLSU and Pride hosted their identity months
- The Black Student Union house was revealed to the public
- The Veteran Student Union hosted their annual film festival
- AASU & WSU hosted their event weeks

On September 20th, the State of the Student Body Address was held at the Senate Chambers.

Various events were held in recognition of MLK Week including Rez Days, Dare to Dream Festival, Dinner Dialogue and An Evening with Angela Davis, Spotlight: A Living History and Marshall Film Screening & Panel.

The Meeting of the Minds – All Agency Spring Summit was held on January 8th.

Ms. Pierre highlighted some campus improvements that the students are excited about including the 1851 Dining Facility, Black Student Union House and the future Student Union.

Upcoming events include the Diversity & Inclusion Institute and FSU Day at the Capitol on April 4, 2018.

Mr. Wiatt Lewis, President of FSU Panama City Student Government Association

Mr. Lewis provided an update for FSU Panama City Student Government, including the increased involvement in student activities such as the Bass

Fishing Team, construction of a new basketball court and sands volleyball court, green space for flag football, graphics design studio and rocket club.

The FSU Panama City and Florida Gulf Coast SGAs work collaboratively to create joint clubs and student activities through a combined group called Seminole Commodore Alliance. One of the anticipated upcoming events is the Spring Fling that is co-hosted by each organization.

E. Faculty Senate

Dr. Kris Harper, Faculty Senate Steering Committee

Dr. Kris Harper provided a Faculty Senate Steering Committee update including Faculty Senate filling empty seats on standing committees. The Constitutional Review Committee, chaired by Dr. Gary Tyson, working on updates to the FSU Constitution and technical changes were approved at the last Senate Committee meeting.

F. Research

Dr. Gary Ostrander, Vice President for Research

Vice President Ostrander began by summarizing the FSU proposal and grant activity for the first half (6 months) of the fiscal year. The overall number of proposals submitted and awards are down slightly from last year. However, last year was a record year for proposal submissions and awards for FSU. So, this is not unexpected given that the faculty and staff are now focused on the initial efforts around last year's awards. Even so, and of most significance, the total dollars awarded to FSU in the first six months of this fiscal year is slightly ahead of last year.

Going forward there is concern about the Federal Government's continued use of CR's (i.e. Continuing Resolutions) as a way of dealing with budget impasses. This has a negative impact on the flow of extramural dollars from Federal agencies in the form of grants and contracts to universities as they are hesitant to commit dollars when their ultimate budget is uncertain.

Dr. Ostrander described the potential funding mechanism to FSU programs from Triumph Gulf Coast Fund. This fund was established with \$1.5 billion dollars from the \$2 billion dollar settlement of the State of Florida with BP. Three hundred million dollars has been received and it is anticipated that Triumph Gulf Coast Fund will receive ~\$80M each year from 2019 to 2033 for a total of \$1.5 billion dollars. It is noteworthy that Triumph funds are restricted to the 8 impacted panhandle counties as determined by the state legislature.

FSU proposed three projects for Triumph Funding. One is from the Law School and will be focused in Waikula County. The effort will revolve around the establishment of a center to provide legal expertise to Veterans and Small Businesses. A second project is being developed by the Office of the Vice President for Research and the Marine Lab and is focused on the recovery of the oyster fishery in Apalachicola Bay in Franklin County. The third project, also spearheaded by the Office of the Vice President for Research is aimed at the establishment of a Center for Research on Aging in Bay County. This project will be tied to our Panama City Campus.

G. Student Affairs

Dr. Amy Hecht, Vice President for Student Affairs

Fraternity and Sorority Life Process

- FSU is undergoing a collaborative process with students, advisors, alumni, and national organizations to develop programs, policies and procedures to shift the culture in a positive direction.
- Efforts include campus-wide initiatives and initiatives focused on the Fraternity and Sorority Life Community.

Health and Wellness

- The Division of Student Affairs is currently searching for a senior-level position (Associate Vice President) that will unite the following health and wellness areas, providing strategic direction, and campus-wide leadership: Campus Recreation, Dean of Students, University Counseling Center, and University Health Services.
- Healthy Campus at FSU is a campus-wide initiative that combines intellectual, emotional, physical, and spiritual development. The Initiative brings together stakeholders from across campus to collaborate in efforts to create a healthier community.
- Utilizing data, FSU has created the following focus areas: Mental Health and Suicide Prevention, Alcohol Tobacco and Other Drugs, Sexual Health, Power Based Personal Violence, Physical Health Team, and Hazing Prevention. These teams change as the data indicates that we need to focus on new or different areas.
- The following are notable accomplishments:
- Trained 239 faculty and staff and 352 students in the 'Noles CARE suicide prevention program;
- 82% of first year and transfer students completed Alcohol EDU (online educational module);
- Implemented Raise the Bar Tally; Trained 376 students through Green Dot Bystander Intervention Training;
- 81% of first year and transfer students completed the online sexual assault prevention module;
- Increased healthy vending option and added healthy cooking classes;

- Increased participation in the online hazing prevention training to over 5,000 students in the fall;
- Implemented training for University Police Officers, faculty, and staff on hazing prevention
- In the future, the Healthy Campus Initiative will focus on implementing the “new normal” we’re seeking to create, assess the data to ensure programs are effective and we’re addressing the areas of greatest need, and expand our programming efforts to reach more students.

H. Finance and Business

Mr. Kyle Clark, Vice President for Finance & Administration

Vice President Kyle Clark provided an update on Finance and Business including the status of multiple projects on campus:

Completed Projects

- Seminole Dining sold over 5,600 Fall Student meal plans for approx. \$8.1M and over 500 Faculty/Staff Fall meal plans for approx. \$75K. Completed Dec. 2017
- Seminole Dining converted the Union Food Court and Community Table into residential dining to accommodate students with meal plans during the Suwannee renovation. Completed Jan. 2018
- Seminole Dining is working with its Food Service Provider to renovate the Suwannee Dining Room, construct a new Steak-n-Shake, Subway, and Argo Tea and to relocate 4Rivers and Einstein's Bagels currently located in the Student Union. Expected completion Summer 2018
- Seminole Dining is working with its Food Service Provider to design new venues to be located in the new Student Union scheduled to open for Fall 2020. This includes 5 to 6 retail locations, a convenience store, and a catering kitchen. Expected completion Summer 2020
- WFSU was awarded a 2-year grant for the Corporation for Public Broadcasting's American Graduate Project, focused on addressing high school graduation and drop-out rates. WFSU is one of only 11 public stations across the country to receive this grant. Completed Dec. 2017
- WFSU TV and Radio completed a successful on-air fundraising campaign raising more than \$136,000 from individual contributions. Completed Dec. 2017
- The Foundation refinanced their outstanding loan on their new office building, reducing their rate from 3.71% to a tax-exempt rate of 2.61%. Completed Jan. 2018
- F&A is analyzing several funding models for the construction of a new \$120M Student Union. Expected completion Spring 2018
- The Controller's Office successfully converted the University's general banking services over to Wells Fargo. This includes depository services

- and disbursement services for student refunds, payroll processing, and vendor payments. Completed Jan. 2018
- Procurement Services is completing the transition of the University's Purchasing Card Program from Bank of America to Wells Fargo. This includes re-issuing approx. 900 p-cards to faculty and staff. Expected Completion Spring 2018
 - The Kotler-Coville Glass Pavilion at the Ringling Museum was completed, with the ribbon cutting ceremony scheduled for January 21, 2018. Completed Jan. 2018
 - The Office of Business Services is completing a Competitive Solicitation for the management of the University's Campus Bookstores, in order to expand and improve the quality of our facilities and services. Expected completion Spring 2018

Current Projects

- The Controller's Office is piloting a new best practice travel system (Concur) and booking system (World Travel Management), which will simplify travel approval, booking, and reimbursement processes, increase compliance with State travel policies, and provide greater visibility into the University's travel and expense spend data. The new system is scheduled to go-live for all of campus in March 2018. Expected completion Spring 2018
- Human Resources successfully implemented all six collective bargaining annual contracts. Completed Fall 2017
- We have initiated a 5-year contract with Cenergistic to further develop our energy conservation program. The program will cover all operational areas of the university ranging from athletics to academics and estimated to save \$12 million over the next five years. On going
- The Office of Business Services is constructing a new site to temporarily relocate the students' post office boxes and UPS Store, during the Student Union renovation. Expected completion Summer 2018
- College of Medicine Practice Plan is purchasing additional land in southwest Tallahassee adjacent to University-owned property and a modular building to function as a new clinic, where its students and faculty can treat moderate and low-income patients. Expected completion Summer 2018
- FSU is upgrading its PeopleSoft Student Financial System to version 9.2. Expected completion Fall 2018
- Several energy conservation projects under the way. We continue to try to avoid cost increases. Expected completion Fall 2018
- Psychology– We have started a retro-commissioning of the Psychology building. We will update controls, recalibrate systems, and reduce air changes where possible. Estimated savings are \$100k per year.
- Bio-Med – The project is near completion. The anticipated savings are \$210k per year

- Lighting Projects– Started converting several parking lots to LED lighting. Less energy consumption and better quality lighting
- Med School: We have started the retro-commissioning project in the Med School. We will upgrade lighting and building controls. Project should save approximately \$85k per year when complete.
- Florida State University Police department was awarded its fifth consecutive certificate of reaccreditation. FSUPD earned the commission’s Excelsior Recognition, the highest level of achievement in Florida accreditation. Completed Fall 2017
- Human Resources is launching a review of processes and practices related to retention and recognition. Expected completion 2018
- Human Resources is finalizing our Smart Onboarding implementation. This is a major process and system upgrade that will streamline the current onboarding process. It will also enable us to consolidate and integrate data and processes and improve ease of use/communication for candidates and departments. Expected completion Spring 2018
 - The key goals are to reduce:
 - Data entry
 - Manual processes
 - Time to hire
 - Paper

Current Facility Projects

- Ringling – Glass Pavilion
 - **Substantial Completion Date:** 7/26/2017
 - **Total Cost:** \$4,000,000
 - **Fund Source:** Ringling
 - **Project Information:** Visitor’s Center Glass Pavilion. Exhibits & Art being installed. Grand Opening on January 21, 2018. Published in Architectural Digest as one of the top museums being opened this year.
 - **Design-Build Consultants:**
 - Architects – Lewis + Whitlock, Tallahassee, FL
 - Contractor – Willis A. Smith Construction, Sarasota, FL
 - Project Completed
 - Exhibits & Art being installed
 - Grand Opening January 21, 2018
 - Published in Architectural Digest as one of the top museums being opened this year
- Dick Howser Scoreboard
 - **Substantial Completion Date:** 2/16/2018
 - **Total Cost:** \$1,400,000
 - **Fund Source:** Athletic Funds
 - **Project Information:** New LED display Board, associated electrical and data, expanded steel structure, and paint.
 - **Design-Build Consultants:**

- Architects – AJP (Anthony James Partners)
 - Contractor – Childers Construction
- Jim Moran School of Entrepreneurship/Jim Moran Institute
 - **Substantial Completion Date:** 1/19/2018
 - **GSF:** 20,000
 - **Total Cost:** \$8,250,000
 - **Fund Source:** University Funds
 - **Project Information:** This project renovates the Guaranty Bank Building located at 111 South Monroe Street in Tallahassee. This project will create space for faculty, staff & students. This facility will accommodate collaboration, presentation, and reception and event spaces for students to connect with entrepreneurial mentors in a creative environment.
 - **Design-Build Consultants:**
 - Architects – Lewis + Whitlock
 - Contractor – Culpepper Construction Company
- Black Student Union/African American Study Center
 - **Substantial Completion Date:** 10/1/2017
 - **GSF:** 6,500
 - **Total Cost:** Over \$2,000,000
 - **Fund Source:** FCO/Private Funds
 - **Project Information:** This project provides new space for the Black Student Union and African American Study Center. This facility will include a gallery, student lounge, multipurpose space, and administrative space.
 - **Consultants:**
 - Architects – Gilchrist, Ross, Crowe Architects, PA, Tallahassee, FL
 - Contractor – Mad Dog Construction/One Day Came, Tallahassee, FL
 - Reached Substantial Completion
 - Punch List Completed
 - Classroom AV installation and furniture installed by February 1, 2018
 - Demo of old BSU to be completed by February 8, 2018
- Shores Innovation Hub
 - **Substantial Completion Date:** 1/15/2018
 - **GSF:** 14,000
 - **Total Cost:** Over \$2,700,000
 - **Fund Source:** University Funds
 - **Project Information:** This project renovates the main floor of the Shores building to create the Innovation Hub. Interdisciplinary spaces for students, faculty, and staff to work in a collaborative environment are included. This flexible work environment will allow them to create

and develop ideas/products to bring to market including project prototype and testing. 17 Departments, colleges, and Programs are involved.

- **Consultants:**
 - Architects – Architects Lewis and Whitlock
 - Contractor – Cook Brothers

- Multidisciplinary Center
 - **GSF:** 7,000
 - **Total Cost:** \$1,500,000
 - **Project Information:** Relocated from Gaines Street. Space will include staff offices, observation and consultation rooms, conference rooms, program space and support space.
 - **Design-Build Consultants:**
 - Architects – Bohlin Cywinski Jackson Architects
 - Contractor – Albritton and Williams

- Suwannee Dining
 - **Substantial Completion Date:** June 2018
 - **GSF:** 24,000
 - **Total Cost for Construction & Equipment:** \$5,400,000
 - **Project Details:** Complete interior renovation of the dining hall, serving stations, entry hall, restrooms, private dining room and kitchen areas. Renovations will also include improved ADA access and enhanced facility functionality during prolonged power outages.
 - **Design-Build Consultants:**
 - Architects – Gilchrist, Ross, Crowe, Tallahassee, FL
 - Contractor – Culpepper Construction, Tallahassee, FL

- FSU Foundation
 - **Substantial Completion:** July 2018
 - **GSF:** 21,000
 - **Total Cost:** \$2,000,000
 - **Project Information:** Renovations to old FICPA Building. Will provide renovated office, meeting, conference rooms, and administrative space.
 - **Design-Build Consultants:**
 - Architects – Lewis + Whitlock
 - Contractor – Ram Construction

- Infant/Toddler Day Care Center
 - **Substantial Completion Date:** August 2018
 - **GSF:** 12,500
 - **Total Cost:** \$1,957,000
 - **Fund Source:** FCO/FSU Funds
 - **Project Details:** Space for 80 toddlers 1 – 3 years of age. Will provide classrooms, nap areas, play areas, and an outside playground.

- **Design-Build Consultants:**
 - Architects – Hicks Nation Architects, Tallahassee, FL
 - Contractor – One Day Came/Mad Dog Construction Co., Tallahassee, FL
- Earth, Ocean & Atmospheric Science Building
 - **Substantial Completion Date:** December 2019
 - **GSF:** 140,000
 - **Total Cost:** \$69,850,000
 - **Project Information:** This project will provide a facility for the newly created Earth Ocean and Atmospheric Sciences Department. It will include construction of classrooms, teaching labs, research labs, offices, and student spaces. The site is located at the SW corner of Woodward Ave and W Tennessee St., across from the Oglesby Student Union. When complete, the new building and its site amenities will serve as a gateway into FSU along its north boundary.
 - **Design-Build Consultants:**
 - Architects – Bohlin Cywinski Jackson
 - Contractor – Ajax Building Corporation
- Other Project Information
 - Currently there are 400 major and minor projects totaling more than \$655 million
 - **College Avenue Parking Lot:** Substantial Completion by February 2018
 - **Thagard 4th Floor Renovation:** Construction to begin February 2018 with Substantial Completion by June 2018
 - **College of Medicine Clinic:** Currently in design phase with Substantial Completion by August 2018

I. General Counsel

Ms. Carolyn Egan, General Counsel

General Counsel Carolyn Egan provided a brief update on the current projects and the day-to-day operations of the General Counsel's office. The General Counsel's office falls under three categories – assists, urgent issues and ordinary litigations. The General Counsel's office also assists various departments in regards to contracts, gift agreements, offer letters, real estate deals.

Ms. Egan also provided an update on current litigation matters. We have 650 vehicles that are operations – 5 auto negligence claims, 6,200 employees – 10 litigate employment claims, 19 general liability claims, and 4 miscellaneous claims.

VIII. OPEN FORUM FOR BOARD OF TRUSTEES

Mr. Ed Burr, Chair

Action Items:

A. Election of Vice Chairman of the FSU Board of Trustees for two-year term

Chair Burr called for nominations for Vice Chair. Trustee Duda nominated Trustee Hillis. Trustee Alvarez seconded the nomination. Chair Burr moved to close the nominations. The nomination to approve Trustee Hillis as vice chair was approved unanimously.

B. FSU Board of Trustees Committee Assignments

Chair Burr reviewed the proposed Committee Assignments. Trustee Sembler moved to approve the committee assignments. Trustee Duda seconded the motion. The motion was approved unanimously.

IX. ADJOURNMENT

Chair Burr adjourned the meeting at 3:54 pm.



FLORIDA STATE UNIVERSITY
OFFICE OF INSPECTOR GENERAL SERVICES

Suite 407 Westcott Building
222 South Copeland Street
P. O. Box 3061390
Tallahassee, Florida 32306-1390

To: President John Thrasher
From: Sam M. McCall, Chief Audit Officer *Smc*
Date: February 9, 2018
Subject: Request for Board Approval to Engage James Moore and Co to Audit the FSU Magnet Research & Development, Inc. (a DSO)


In accordance with FSU Regulation 2.025, the Audit Committee of the Florida State University Magnet Research & Development Inc. has reviewed proposals submitted to conduct the audit of the FSUMRD (a Direct Support Organization) for fiscal years ending June 30, 2018 through June 30, 2022. The FSUMRD Audit Committee recommended the firm of James Moore and Co to the FSUMRD Board and the Board has approved the recommendation. The FSUMRD Board now request the FSU Board of Trustees to approve their recommendation in accordance with FSU Regulation 2.025.



FLORIDA STATE UNIVERSITY
OFFICE OF THE PROVOST

MEMORANDUM

TO: President John Thrasher

FROM: Provost Sally McRorie 

DATE: February 8, 2018

SUBJECT: Proposal to Implement Bachelor of Science in Biomedical Engineering
Request for Approval

The BS in Biomedical Engineering is being proposed by the FAMU-FSU College of Engineering, Department of Chemical and Biomedical Engineering, in cooperation with the Dean of the FSU-Panama City campus. Biomedical engineers work in diverse areas such as artificial tissue and organ development, genetic engineering research, development of drug-delivery systems, biomedical device design and manufacturing, bioinstrumentation development, and pharmaceutical manufacturing. The proposed curriculum will offer substantial content in priority areas of employment in the biomedical industry - cellular and tissue engineering, biomechanics and biomaterials, nanotechnology, and biomedical imaging.

Three majors focusing on different aspects of the field will be included in the BS-BME degree: 1) Cell & Bioprocess Engineering, 2) Biomaterials and Polymers Engineering, and 3) Imaging and Signal Processing Engineering. All three majors will be offered face-to-face on both campuses, and the degree will be housed in the FAMU-FSU College of Engineering. The total number of credit hours needed to obtain the BS degree will be 131, which is consistent with the average number of credit hours for other engineering BS degree programs. Implementation is planned for Fall 2018, and ABET accreditation for the program will be sought at the appropriate time.

The National Bureau of Labor Statistics Occupational Outlook Handbook cites Biomedical Engineering as the engineering discipline, and overall profession, with the largest job growth potential nationally and regionally (23%). According to the May 2015 Occupational Employment and Wages Survey, the average hourly wage for a biomedical engineer in the State of Florida is \$36.97, or \$76,900 annually. Biomedical Engineering is classified as an area of strategic emphasis – STEM - by the Board of Governors.

The current plan includes adding new faculty lines on both the Tallahassee campus and the FSU-Panama City campus, along with support staff and laboratory space. The Board's approval to implement does not obligate the University to provide the resources requested; any resource request will be reviewed as part of the annual allocation of resources.



FLORIDA STATE UNIVERSITY
OFFICE OF THE PROVOST

TO: President John E. Thrasher
FROM: Provost Sally McRorie *Shaw*
DATE: February 8, 2018
SUBJECT: Termination of the Bachelor of Science in Science Education
Request for Approval

The College of Education has requested that the following degree program be terminated at the Bachelor's level, effective Summer Term 2018:

13.1316 Science Education


In 2008, the College of Education implemented a teacher-education model called FSU-Teach that incorporates early exposure to the classroom and intensive preparation in math or science. In FSU-Teach, students complete a primary major in math or science and a secondary major in education. Because this program has proven advantageous for students and for the School of Teacher Education within the College, the faculty have determined that the bachelor's level of the Science Education degree should be terminated.

Because new enrollments were suspended in Fall 2009, there have been no students enrolled in the bachelor's degree for years, and no faculty members will be affected by this degree termination. The faculty members who taught within this program now teach undergraduates within the FSU-Teach framework, as well as graduates within the Curriculum and Instruction degree.

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) has been notified of the University's intention to terminate the program at the Bachelor's level, pending Board of Trustees approval.



FLORIDA STATE UNIVERSITY
OFFICE OF THE PROVOST

TO: President John E. Thrasher
FROM: Provost Sally McRorie 
DATE: February 8, 2018
SUBJECT: Termination of the Bachelor of Science in Mathematics Education
Request for Approval

The College of Education has requested that the following degree program be terminated at the Bachelor's level, effective Summer Term 2018:

13.1311 Mathematics Education

In 2008, the College of Education implemented a teacher-education model called FSU-Teach that incorporates early exposure to the classroom and intensive preparation in math or science. In FSU-Teach, students complete a primary major in math or science and a secondary major in education. Because this program has proven advantageous for students and for the School of Teacher Education within the College, the faculty have determined that the bachelor's level of the Mathematics Education degree should be terminated.

Because new enrollments were suspended in Fall 2009, there have been no students enrolled in the bachelor's degree for years, and no faculty members will be affected by this degree termination. The faculty members who taught within this program now teach undergraduates within the FSU-Teach framework, as well as graduates within the Curriculum and Instruction degree.

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) has been notified of the University's intention to terminate the program at the Bachelor's level, pending Board of Trustees approval.



FLORIDA STATE UNIVERSITY
OFFICE OF THE PROVOST

TO: President John E. Thrasher
FROM: Provost Sally McRorie *SMcRorie*
DATE: February 8, 2018
SUBJECT: Termination of the Bachelor of Science in Multilingual/Multicultural Education
Request for Approval

The College of Education has requested that the following degree program be terminated at the Bachelor's level, effective Summer Term 2018:

13.1306 Multilingual/Multicultural Education

Because new enrollments were suspended in Fall 2007 due to low student demand, there have been no students enrolled in the bachelor's degree for many years, and no faculty members will be affected by this degree termination. The faculty members who taught within this program now teach graduate students within a similar major as part of the Curriculum and Instruction degree. They find that graduate-level instruction is more appropriate within this specialized field. Thus, the faculty have determined that the bachelor's level of the degree should be terminated.

The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) has been notified of the University's intention to terminate the program at the Bachelor's level, pending Board of Trustees approval.



FLORIDA STATE UNIVERSITY
OFFICE OF THE VICE PRESIDENT
FOR FINANCE & ADMINISTRATION

MEMORANDUM

TO: John Thrasher, President
FROM: Kyle Clark, Vice President of Finance & Administration
DATE: February 9, 2018
SUBJECT: Request for Approval
Educational Plant Survey

At least every five years, every school district, community college, college, and state university is required by Florida Statute (F.S. 1013.31) to conduct an Educational Plant Survey. The purpose of this survey is to aid in formulating plans for housing the institution's educational programs and student population, faculty, administrators, staff, and auxiliary and ancillary services of the district or campus. A survey team consisting of representatives from the Board of Governors and peer institutions conducts the survey with the assistance of university staff.

Surveys for state universities are required to be performed, reviewed and approved by their Board of Trustees and submitted to the Board of Governors for final approval. The survey report shall include an inventory of existing educational and ancillary plants, recommendations for existing educational and ancillary plants, and recommendations for new educational or ancillary plants.

Attached is a copy of the most recent educational plant survey for Florida State University, completed in October 2017, and an executive summary of the process. Upon approval by you and the Board of Trustees, the University will initiate submission to the Board of Governors for approval.

I recommend your approval.

KC/rg

Attachment

Approved

Florida State University

Educational Plant Survey

I. Introduction

Definitions and Requirements for Educational Plant Survey

An Educational Plant Survey is defined in s. 1013.01(8), Florida Statutes, as a systematic study of present educational and ancillary plants and the determination of future needs to provide an appropriate educational program and services for each student based on projected capital outlay FTE's approved by Florida Board of Governors. The term "Educational plant" is defined in s. 1013.01(7), F. S., as those areas comprised of the educational facilities, site, and site improvements necessary to accommodate students, faculty, administrators, staff, and the activities of the educational program of each plant. The term "Ancillary plant" is defined in s. 1013.01(1), F. S., as an area comprised of the building, site, and site improvements necessary to provide such facilities as vehicle maintenance, warehouses, maintenance, or administrative buildings necessary to provide support services to an educational program.

A Survey is required at least every five years pursuant to s. 1013.31(1) F.S. In addition, s. 1013.64(4)(a), F.S., requires that each remodeling and renovation project included in the Board of Governors 3-year PECO Project Priority List be recommended in a Survey and, that the educational specifications for new construction be approved by the Board of Governors before appearing in the first year of this list. PECO (Public Education Capital Outlay) Funds are the primary source available to universities for academic and support facilities. By definition, as found in Section 1013.01(16), Florida Statutes, a PECO Funded Project is any "site acquisition, renovation, remodeling, construction project, or site improvement funded through this source of revenue and all buildings, equipment, other structures, and special educational use areas that are built, installed, or established to serve the primary educational instructional program of... [a] university board of trustees."

The Purpose of Educational Plant Survey

The purpose of a Survey is to aid in the formulation of five-year plans to house the educational program and the student population, the faculty required to deliver and support the programs, and the staff and auxiliary and ancillary services needed for campus operations. Specific recommendations are provided to assist in the facilities planning process. The Survey should be considered as one element in the overall facilities planning process, which begins with the master planning process, and includes the Capital Improvement element of the Master Plan for the long-term physical development of the university, the shorter-term five-year Capital Improvement program, and the development of specific building programs before submitting a request for funding.

Surveys may be amended if conditions warrant a change in the construction program. Each revised Educational Plant Survey and each new Educational Plant Survey supersedes previous Surveys. This report may be amended, if conditions warrant, at the request of the board [of Trustees] (s. 1013.31(1) (a), F. S.). Recommendations contained in a Survey Report are null and void when a new Survey is completed.

Types of Facilities Addressed in Survey

Ten categories of space have been identified as those needed to meet educational program requirements. These categories are included within the nationally recognized space classification, as identified within the Postsecondary Educational Facilities Inventory and Classification Manual, dated November 2006. The need for merchandising facilities, residential facilities, and special-purpose non-credit facilities such as demonstration schools, continuing education centers, or dedicated intercollegiate athletic facilities are not addressed in this report. An evaluation of facilities needs associated with these activities would require a separate analysis of demand measures and program requirements.

II. Overview of the Survey Process

The Survey process is comprised of two main components: the facilities Inventory Validation component and the Needs Assessment component. The fieldwork portion of the process is carried out by a Survey Team, which is directed by the Survey Leader from one of the university's sister institutions. Other Survey Team Members include staff from the Board of Governors Office of Finance and Facilities and staff from other universities who serve in the planning and space inventory areas of their institutions. A Survey Facilitator is assigned by the subject university to facilitate logistics, collection of data for Inventory Validation, development of the Survey Workbook used by the Survey Team, coordination of university activities, and final preparation and publication of this document. Significant preparation is necessary before each of the two Survey components are carried out.

III. Recommendations of the Survey Team

The recommendations of the Survey Team, including site improvements and standard university-wide recommendations, were given to the University President following the exit interview on October 26, 2017. Subsequent to this, the recommendations were amended and a letter explaining the University's understanding of the final recommendations was sent to the Chancellor at the Florida Board of Governors. The final recommendations of the Survey Team have been expanded and are provided below.

Site Improvements Recommendations:

- 1.1 Land Acquisition – This project allows the university to continue purchasing properties surrounding all campuses as identified in the adopted Campus Master Plan.

- 1.2 Landscaping and Site Improvements – This is a general recommendation for landscaping and site improvements consistent with the adopted Campus Master Plan.
- 1.3 Utility Infrastructure – This is a general recommendation for items in the categories of chilled water, controls, electrical distributions, storm sewer, sanitary sewer, telecommunications, energy management control systems, irrigation, water distribution, steam equipment and distribution and roads. These projects consist of improvements, extensions, modifications, and additions to the major utility systems consistent with the adopted Campus Master Plan.

Remodeling/Renovation Recommendations:

- 2.1 Remodeling/renovation recommendations are in accordance with the net square footage as described in the Form B. Remodeling/renovation recommendations that yield no significant changes to existing space use categories are recommended.
- 2.2 The significant remodeling/renovation projects must be specifically identified. The projects must identify the space categories affected (i.e. from existing space use to proposed space use). Any changes to remodeling/renovation projects that exceed 100% of any space use categories will require a supplemental survey.
 - 2.2a Winchester Building Remodel
 - From 14,404 NSF office, 30 NSF campus support service
 - To 10,000 NSF office, 3,500 NSF campus support service.
 - 2.2b Library System Improvements Phase I (Dirac Science Library Building) Remodel
 - From 1,291 NSF classroom, 584 NSF teaching lab, 49,578 NSF study, 524 NSF research lab, 20,722 NSF office
 - To 60,000 NSF study, 18,000 NSF office.
 - 2.2c Dittmer Chemistry Lab Remodel
 - From 70,804 NSF research lab, 17,531 NSF office
 - To 1,500 NSF study, 85,000 NSF research lab, 1,000 NSF office.
 - 2.2d Kellogg Building Remodel
 - From 2,824 NSF classroom, 5,890 NSF teaching lab, 246 NSF research lab, 14,571 NSF office, 93 NSF campus support service
 - To 2,500 NSF classroom, 5,000 NSF teaching lab, 2,500 NSF study, 13,000 NSF office.
 - 2.2e Biology Unit I Building Remodel
 - From 2,804 NSF teaching lab, 1,412 NSF study, 34,367 NSF research lab, 8,779 NSF office
 - To 3,000 NSF study, 38,000 NSF research lab, 6,000 NSF office.

New Construction Recommendations:

New construction recommendations are in accordance with the presented net square footage and as described in the Form B. The following projects are recommended:

- 3.1 Academic Support Building
63,000 NSF (20,000 office, 43,000 campus support service)

Projects Based on Exception Procedure:

The survey team is recommending the following project based on the exception procedure. This project consists of ineligible space and therefore the Form B space needs formula does not apply.

- 4.1 Veteran's Legacy Complex
39,330 NSF (2,895 classroom, 1,170 teaching lab, 12,260 study, 12,455 office, 9,500 auditorium/exhibition, 1,050 instructional media)

Demolition Recommendations:

Pursuant to Board of Governors' Regulation 9.004, Razing of Buildings, demolition projects beneath the \$1,000,000 threshold do not require an Educational Plant Survey recommendation; however, all reductions in space categories should be appropriately reflected in the Form B.

The following demolitions have been requested and are recommended:

- 5.1 ROTC Building – 3,124 NSF classroom, 1,565 NSF study, 6,269 NSF office
- 5.2 Employee Assistance Building – 1,434 NSF office
- 5.3 Seminole Dining Building – 2,131 NSF office
- 5.4 Mendenhall A – 17,972 NSF office, 34,048 NSF campus support service
- 5.5 Mendenhall B – 1,300 NSF office
- 5.6 Mendenhall Annex – 359 NSF office
- 5.7 FDLE Mail Scan Building – 605 NSF office, 9,697 NSF campus support service

Continuing Survey Recommendations:

These project(s) were survey recommended and partially funded through legislative appropriations during the previous survey cycle, however their funding has not yet been completed. This is a recommendation for continued funding for these projects.

- 6.1 Earth, Ocean, and Atmospheric Sciences Building (EOAS)
89,540 NSF (9,280 classroom, 15,250 teaching lab, 2,340 study, 27,670 research lab, 35,000 office)

Projects Funded for Planning:

These projects were not previously survey recommended. However, they were partially funded through legislative appropriations. This is a survey recommendation to continue funding for these projects.

- 7.1 College of Business
131,585 NSF (36,090 classroom, 10,615 teaching lab, 6,205 study, 2,250 research lab, 60,125 office, 15,000 auditorium/exhibition, 1,000 instructional media, 300 campus support service)
- 7.2 STEM Teaching Lab Building
48,500 NSF (44,000 teaching lab, 2,500 study, 2,000 office)
- 7.3 Interdisciplinary Research and Commercialization Building (IRCB)
68,302 NSF (45,007 research lab, 20,280 office, 3,015 campus support service)

Special Purpose Center Recommendations:

- 8.1 N/A

Standard University-wide Recommendations:

SR1. Projects for safety corrections are recommended.

SR2. Projects for corrections or modifications necessary to comply with the Americans Disabilities Act are recommended.

SR3. Projects required to repair or replace a building's components are recommended provided that the total cost of the project does not exceed 25% of the replacement cost of the building.

SR4. Expansion, replacement and upgrading of existing utilities/infrastructure systems to support projects identified within this Educational Plant Survey are recommended.

Notes:

- A. University is to write recommendation text in accordance with current Educational Plant Survey format criteria.
- B. The Survey Team requires that projects recommended for approval are to be incorporated into the Master Plan update(s).

- C. The Survey Team recommendations to the Board of Governors cannot exceed 100% of space needs met by formula in any of the nine (9) space categories. Any project that exceeds 100% of needs met must be modified to ensure approval by the Survey Team. The 100% threshold options are as follows:
1. Verify space use classification (i.e. Classroom, Teaching Lab, etc.)
 2. Reduce square footage in space use categories exceeding 100%
 3. Delete a project or the space in a use category that exceeds 100%
 4. Substitute with other proposed space categories within the same project.
 5. Shift requested project priorities to stay below 100% threshold.
 6. Provide a university strategy to support temporary overages.
- D. Supplemental surveys are required if any changes to project scope result in a space category exceeding 100% of formula-driven need.



FLORIDA STATE UNIVERSITY
OFFICE OF THE VICE PRESIDENT
FOR FINANCE & ADMINISTRATION

MEMORANDUM

TO: John Thrasher, President
FROM: Kyle Clark, Vice President of Finance & Administration
DATE: February 9, 2018
SUBJECT: Request for Approval
2018 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
February 2018**

**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 6.7% 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
- 8 - Sales

II. 2017 AAP WORKFORCE PROFILE FOR RACE AND SEX

The following tables and graphs contain information pertaining to the University's 2017 workforce demographics, as determined from workforce data over the period of October 1, 2016 through September 30, 2017. Although the University's focus goes beyond affirmative action to include 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 the race and sex of faculty and staff over the last five years for each Plan location.

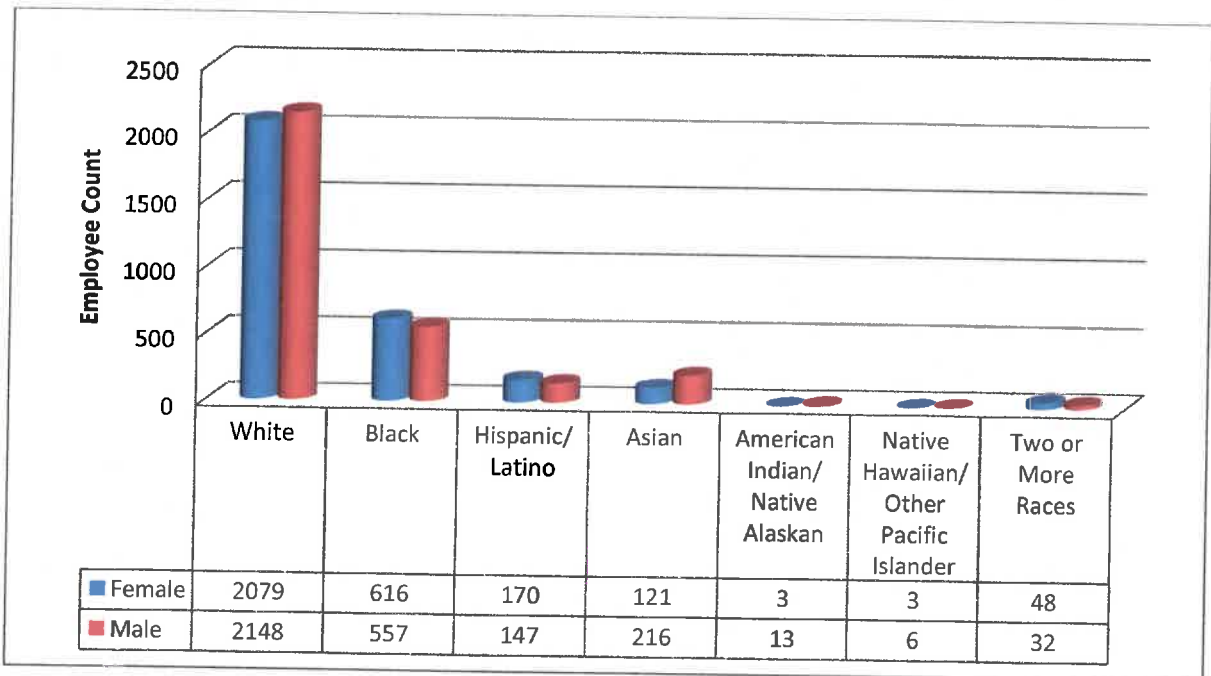
Table 1 – Workforce Trending (Race/Sex)

Location	Plan Year	Total Count	Percent Minority	Percent Female
Main Campus	2014	6062	30.47%	48.98%
	2015	6126	30.90%	48.81%
	2016	6118	31.19%	48.81%
	2017	6129	31.28%	49.03%
	2018	6159	31.37%	49.36%
Panama City Campus	2014	102	14.71%	58.82%
	2015	103	16.50%	61.17%
	2016	104	14.42%	58.65%
	2017	105	16.19%	56.19%
	2018	110	19.09%	57.27%
Ringling Museum of Art	2014	132	12.12%	47.73%
	2015	127	11.02%	51.97%
	2016	128	12.5%	53.91%
	2017	127	12.6%	50.39%
	2018	128	15.62%	53.91%
University Total	2014	6296	29.83%	49.11%
	2015	6356	30.27%	49.07%
	2016	6350	30.53%	49.07%
	2017	6361	30.66%	49.17%
	2018	6397	30.84%	49.59%

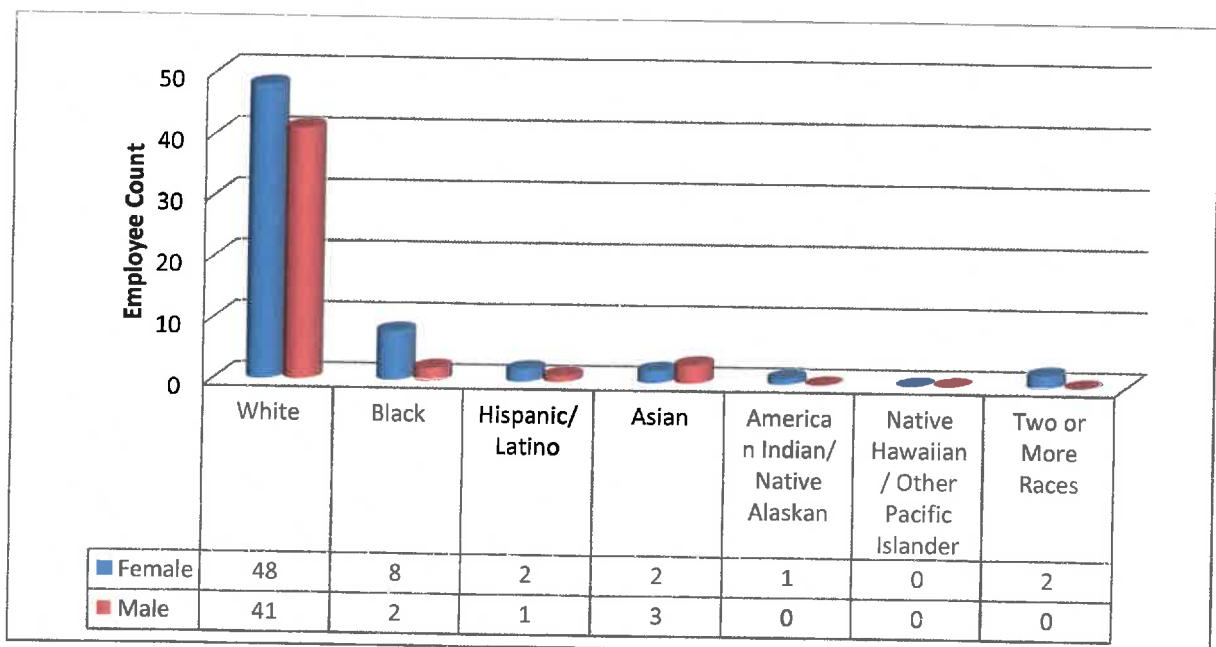
The graphs below depict the racial and gender composition of the University workforce, by AAP location, as of September 30, 2017.

Graph 1 – Current Workforce Composition (Race/Sex)

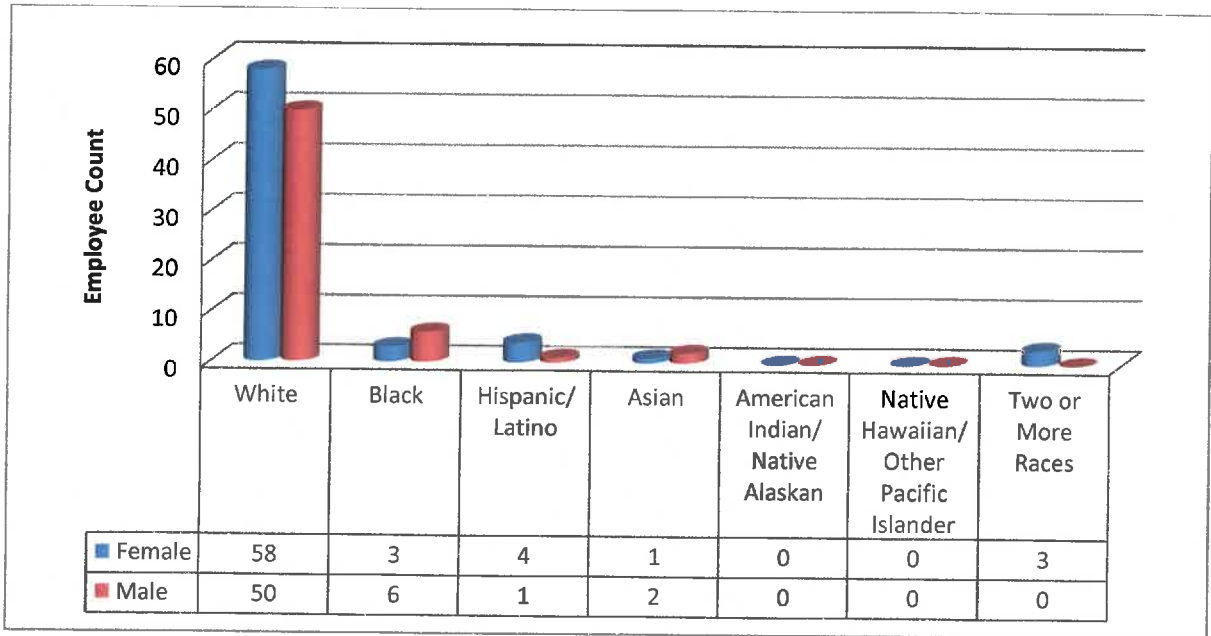
1.1 – Main Campus



1.2 – Panama City Campus



1.3 – Ringling Museum of Art



III. 2017 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)

Location	Plan Year	Total Count	Percent Individuals with Disabilities
Main Campus	2016	6118	3.43%
	2017	6129	3.51%
	2018	6159	3.73%
Panama City Campus	2016	104	5.77%
	2017	105	6.67%
	2018	110	6.36%
Ringling Museum of Art	2016	128	4.69%
	2017	127	7.09%
	2018	128	5.47%
University Total	2016	6350	3.50%
	2017	6361	3.63%
	2018	6397	3.81%

Similar to Placement Goals, the University identifies Utilization Goals when underrepresentation of employees with known disabilities occurs within a Job Group. The point of comparison for Utilization Goals was established by the OFCCP by analyzing disability data collected from the American Community Survey. The “aspirational goal” established by the OFCCP is 7% for individuals with disabilities in each Job Group.

IV. 2017 AAP GOAL ATTAINMENT

During the 2017 Plan year, seven 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 2016 to 2017 (Race/Sex)

3.1 – Main Campus

Job Group	Goals	
	Minority	Female
2E1 - Senior Research Faculty	X	
3A1 - Senior Technology Professional		X
3A2 - Mid-level Technology Professional	X	
3D2 - Mid-Level Administrative Professional (Non-Exempt)	X	
3H - Program Director		X
4A3 - Technology Tech/Paraprofessional		X
7B - Security Services		X

3.2 – Panama City Campus

The Panama City Campus did not attain its single goal for females in job group 2A – Faculty, from the 2017 Plan year.

3.3 – Ringling Museum of Art

The Ringling Museum of Art attained one goal for females in job group 5A – Clerical, from the 2017 Plan year.

Utilization Goal Attainment for IWD

This year’s data indicates that individuals with disabilities are represented in 9 of the 80 job groups at the Main Campus location, 4 of 8 job groups at the Panama City Campus, and 2 of 8 job groups at the Ringling Museum of Art. The University’s efforts to educate faculty and staff regarding the purpose of collecting such data, our obligations as a federal contractor, and the confidentiality of their responses have resulted in slight increases in voluntary self-identification.

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, established by OFCCP, measuring the success of our efforts to recruit and employ qualified protected veterans. The benchmark established by the OFCCP is 6.7%. The table below provides the hiring percent of protected veterans at each AAP location. The University has exceeded the 6.7% benchmark at the Panama City Campus.

Location	Hiring Benchmark	Hiring Percent of Protected Veterans
Main Campus	6.7%	4.20%
Panama City Campus	6.7%	9.68%
Ringling Museum of Art	6.7%	4.35%

V. 2018 AAP PLACEMENT GOALS

The University has 31 placement goals (race/sex) for the 2018 Plan year (a decrease of one in the total number of goals from 2017). 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 2018 AAP, and whether they are new goals or goals that have continued over from Plan Year 2017. Only those job groups with goals are listed.

Table 4 – Placement Goals for 2018 (Race/Sex)

4.1 – Main Campus

Job Group	Goals		Change from 2017 AAP
	Minority	Female	
1 – Executive/Administrative/Managerial			
1B - Senior Administration	X		Cont.
1C - Mid-Level Administration	X		New
2 – Faculty			
2B1 - Professor	X	X	Cont.
2D1 - Senior Teaching Faculty	X*		Cont.
2D3 - Teaching Faculty	X*		Cont.

Job Group	Goals		Change from 2017 AAP
	Minority	Female	
2E1 - Senior Research Faculty		X*	Cont.
2E2 - Mid-Level Research Faculty		X	New
2G1 - Senior Research Support		X*	Cont.
2H - FSUS University School	X		Cont.
2I - Other Faculty	X*		Cont.
3 – Professionals			
3B3 - Budget/Finance Professional (Non-Exempt)	X*		Cont.
3C3 - Health Professional (Non-Exempt)	X		New
3D1 - Senior Administrative Professional	X		New
3E1 - Senior Scientific & Research Professional	X*		Cont.
3F2 - Student Advisory Professional (Non-Exempt)	X		Cont.
3F3 - Student Program Professional		X*	Cont.
3G1 - Sr. Media & Communications Professional	X		New
3G2 - Media & Communications Professional (Non-Exempt)	X		Cont.
3H - Program Director	X		Cont.
3J2 - Mid-Level Athletic Professional		X	New
4 – Technical/Paraprofessional			
4E1 - Sr. Scientific & Research Tech/Paraprofessional		X	Cont.
5 – Clerical/Secretarial			
5A2 - Mid-Level Secretarial		X*	Cont.
5B1 - Senior Business Admin Support		X	New
5B2 - Mid-Level Business Admin Support		X	Cont.
6 – Skilled Crafts			
6A1 - Senior Skilled Craft		X	New
6B1 - Specialty Skilled Trades Worker	X*		Cont.
7 – Service/Maintenance			
7A2 - Law Enforcement	X		Cont.

*Although the goal has continued, progress was made towards elimination of the goal.

4.2 – Panama City Campus

Job Group	Goals		Change from 2017 AAP
	Minority	Female	
2A - Faculty		X	Cont.

4.3 – Ringling Museum of Art

Job Group	Goals		Change from 2017 AAP
	Minority	Female	
6A - Skilled Craft	X		Cont.
7A - Service/Maintenance	X		Cont.

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 for the 2018 AAP.

4.4 – Percent of Placement Goals for 2018 (Individuals with Disabilities)

Location	Number of Job Groups	Number of Job Groups with Goal	Percent of Job Groups with Goal
Main Campus	80	71	88.76%
Panama City Campus	8	4	50.00%
Ringling Museum of Art	8	2	25.00%

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](#): As part of FSU's on-going commitment to Diversity and Inclusion, the University has prominently placed within its Strategic Plan specific goals for creating a diverse and inclusive campus community. The 2017-2022 University Strategic Plan, approved by the Board of Trustees in November 2016, set as a strategic goal: ***Realizing the Full Potential of Diversity and Inclusion***. Our approach starts with a belief that diversity is about more than a particular head count: it must reflect the quality and depth of interactions. The University has set and will pursue aggressive goals to recruit and retain faculty, staff, and students at all levels of the University who reflect the diversity of Florida and our nation. We will support and strengthen initiatives for the recruitment, retention, and development of a diverse faculty and staff. We will support employee professional development programs that help ensure a welcoming atmosphere for members of historically marginalized and underrepresented populations who join the FSU community. Finally, FSU will become the nation's most veteran-friendly university, through targeted efforts to recruit and retain faculty, and staff from veteran populations.

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. This plan will be used in support of initiatives outlined in the strategic plan.

- [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.

The Diversity and Inclusion Council, which was established in 2011 and functions under the auspices of the Office of the President, 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' Equal Opportunity and Compliance staff 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.

In 2016, the University, in collaboration with the Council, launched two new initiatives, the *Student Diversity and Inclusion Council (SDIC)* and the establishment of FSU as a *National Coalition Building Institute (NCBI)* affiliate.

The **Student Diversity and Inclusion Council (SDIC)** was established in Fall 2016, under the direct tutelage of the President. The autonomous group is comprised of a cross-section of students from different disciplines and colleges. SDIC launched the *#Power of WE* campaign in September 2016, FSU's first student-curated, university-wide diversity and inclusion campaign. The campaign includes a number of events throughout the academic year with the goal of inspiring a campus culture that engages across different perspectives and identities. This student cultivated campaign has been well received by the campus community and has made an immediate impact.

During the Fall semester 2016 the University contracted with the **National Coalition Building Institute (NCBI)** to establish FSU as an affiliate and develop a campus team. This team is the recognized Diversity and Inclusion training/response team for the University and proactively delivers a skill building curriculum focused on promoting and maintaining an inclusive and welcoming campus environment. The campus team is composed of 25 faculty and staff who were selected through a nomination/application process.

The **President's Diversity and Inclusion Mini-Grant Program** launched in Fall 2017. To support efforts which align with the University's new strategic plan. The Office of the President, through the President's Diversity & Inclusion Council, solicited proposals for the implementation of diversity and inclusion initiatives and projects that further the diversity goals of the University. In its inaugural year, there were over 50 application submissions from faculty, staff, and students. Mini-grant proposals were reviewed for all diversity related areas. The ten award winners each received up to \$1,000 in support of their project's programming and activities.

The University continues to support the faculty and staff 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. The University's Affinity groups include:

- Latin Faculty Advocacy and Resource Group
- Black Faculty and Staff Organization
- LGBTQ+ Faculty Staff Network
- Veterans, Friends and Family Group (VF2G)
- The South Asian Noles Association (New, Established Fall 2016)

Additionally, the Office of the Provost and Executive Vice President supports the **Faculty of Color Affinity Group Mentoring Program**. The program, established fall semester 2016, is the framework for culturally responsive faculty and staff retention that is grounded in understanding the ways that holistic mentoring and professional development improve the recruitment, retention, advancement, and development of FSU faculty of color. In collaboration with the Provost and Human Resources, in Spring 2017, the Black Faculty and Staff Network (BFSN) Affinity group, convened a **Faculty of Color Writing Collective** in support of underrepresented junior faculty research and writing.

Finally, the University's Office of Faculty Development and Advancement, in affiliation with the Office of the Provost, is a member of the **National Center for Faculty Development & Diversity (NCFDD)**. The NCFDD offers on-demand access to mentoring, accountability, and support for academics throughout their careers, with a targeted audience of faculty, post docs and graduate students from underrepresented populations.

- **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.
- **Diversity Awards:** For the fourth year in a row, the University earned national recognition as a recipient of INSIGHT Into Diversity's 2017 "Higher Education Excellence in Diversity" (HEED) Award. 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 are selected on the basis of the institution's exemplary diversity and inclusion initiatives with regard to all aspects of diversity, including race, ethnicity, sex, veterans, and individuals with disabilities.

Additionally, in both 2016 and 2017 INSIGHT Into Diversity honored the University by naming it a "[Diversity Champion](#)." Only 10 colleges and universities across the nation were selected for this honor. These institutions exemplify an unyielding commitment to diversity and inclusion throughout their campus communities, across academic programs, and at the highest levels of administration. Diversity Champion schools serves as modes of excellence and set the standards for other college and university campus environments. Finally, the University's College of Medicine earned distinction as one of the 24 recipients of the **Health Professions HEED Award** – a national honor recognizing U.S. medical, dental, pharmacy, osteopathic, nursing, and allied health schools that demonstrate an outstanding commitment to diversity and inclusion. FSU is the only medical school from the state of Florida to receive the award.

- **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.

The University's Office of the Provost maintains the **Minority Faculty Recruitment Program**, which supports academic units in the recruitment of highly qualified underrepresented minorities when there is a need for a position. The allocation of positions and related funding under this program is subject to availability of positions and salary rate and is at the discretion of the Provost. The program is a proven resource in addressing underrepresentation and concomitant goals.

In an effort to improve outreach to veterans the Office of Human Resources has designated a **Veterans Liaison** who serves to assist veterans in the application and onboarding process. The liaison makes direct contact with veteran service agencies and veteran applicants to provide support and guidance throughout the hiring process. Collaboration also continues with the on-campus Veterans' Office in helping to identify potential candidates for employment. Similar efforts have been made to foster outreach with the disabled through local support and service organizations.

- **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

The Office of Human Resources has developed an online **Search Committee Orientation** training module for faculty and staff. This online training was developed to prepare faculty and staff for serving on search committees. The training provides information on the basic steps of the search process, but also places special emphasis on understanding implicit bias and its role in the search process. The training is accompanied by a toolkit of resources that assists committees in establishing a diverse pool of candidates and provides guidance on interacting with diverse candidates. The online training launched in the fall of 2017.

The **Equal Opportunity and Compliance** unit within Human Resources routinely offers diversity training to the campus community for such events as New Faculty Orientation and Graduate Assistant Orientation. Over the past year the unit has developed and presented trainings on Diversity & Inclusion and Implicit Bias to faculty and staff at FSUS, the Mag Lab and various administrative and academic units.

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>.

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.



FLORIDA STATE UNIVERSITY
OFFICE OF THE VICE PRESIDENT
FOR FINANCE & ADMINISTRATION

MEMORANDUM

TO: John Thrasher, President

FROM: Kyle Clark, Vice President of Finance & Administration 

DATE: February 9, 2018

SUBJECT: Request for Approval
2018-2019 Budget Projections for Auxiliaries with Outstanding Revenue Bonds

The Board of Governors Regulation 9.008 "University Auxiliary Facilities with Outstanding Revenue Bonds" was amended effective June 22, 2017, to include additional language regarding maintenance and equipment reserves, as well as reporting requirement clarifications, for certain auxiliary revenue bond issues.

The University's Housing System and Parking System auxiliary revenue bonds contain covenant language requiring an annual Income and Expenditure Statement to be submitted to the Board of Governors for approval. The operating budgets for these auxiliary facilities must be approved by the University Board of Trustees in advance of submission to the Board of Governors. The Board of Governors is charged with approving the Income and Expenditure Statements as required by bond covenants that have been previously endorsed by the respective University Board of Trustees.

Attached are the Housing System and Parking System annual Income and Expenditure Statements. Upon approval by you and the Board of Trustees, the University will initiate submission to the Board of Governors for approval.

I recommend your approval.

KC/rg

Attachment

Approved

INCOME AND EXPENDITURE STATEMENT

UNIVERSITY: Florida State University

BOND TITLE: Housing System Bond Series 2010A, 2011A, 2013A, 2014A, 2015A

AUXILIARY FACILITY (IES): University Housing System

	2016-17 Actual	2017-18 Estimated	2018-19 Projected
1. REVENUE CARRIED FORWARD			
A. Operating Cash Carried Forward:			
Liquid	30,857,365	34,374,525	21,233,477
Investments	0	0	0
Sub-Total:	30,857,365	34,374,525	21,233,477
B. Replacement Reserve Forward:			
Bond Covenants (Facilities Maintenance and Equipment)	6,428,621	6,465,675	6,705,748
Other	18,333,346	18,677,441	37,267,696
Sub-Total:	24,738,770	25,143,116	43,973,444
TOTAL CARRIED FORWARD (A +B):	55,596,135	59,517,641	65,206,921
2. CURRENT YEAR REVENUE:			
* Revenue	41,864,031	47,401,995	47,690,958
Interest Income	492,715	350,000	400,000
Other Income	674,142	484,631	512,000
TOTAL CURRENT YEAR REVENUE:	43,030,888	48,236,626	48,602,958
3. SUMMARY OF AVAILABLE REVENUES (1 +2):	98,627,023	107,754,267	113,809,879
4. EXPENDITURES			
Salaries and Matching	8,668,630	10,290,536	9,432,345
Other Personal Services	2,255,822	2,641,660	2,610,044
Operating Expense	7,077,883	7,557,180	7,698,075
Repairs and Maintenance	1,938,559	2,000,000	2,100,000
Debt Service	13,979,664	15,340,000	15,340,000
Repair and Replacement Expense	1,612,424	3,955,000	4,300,000
Operating Capital Outlay	48,832	240,000	110,000
Other Expense & Transfers Out	733,568	877,970	999,101
TOTAL EXPENDITURES:	36,315,382	42,902,346	42,589,565
5. TRANSFERS TO REPLACEMENT RESERVES			
Bond Covenants (Facilities Maintenance and Equipment)	0	0	0
Other	3,198,346	18,475,328	6,875,328
Sub-Total:	3,198,346	18,475,328	6,875,328
6. TRANSFERS FROM REPLACEMENT RESERVES			
Bond Covenants (Facilities Maintenance and Equipment)	0	0	0
Other	3,405,894	0	5,000,000
Sub-Total:	3,405,894	0	5,000,000
7. ENDING REPLACEMENT RESERVES (1B +5 -6)			
Bond Covenants & Other (Facilities Maintenance and Equipment)	24,531,222	43,618,444	45,848,772
Interest Income Earned on Reserve Balance	611,894	355,000	362,100
Sub-Total:	25,143,116	43,973,444	46,210,872
8. ENDING OPERATING CASH (1A +2 -4 -5)	34,374,525	21,233,477	20,371,542
9. SUMMARY OF ENDING REVENUES (7 +8)	59,517,641	65,206,921	66,582,414

*** REQUIRED INFORMATION ***

Date budget approved by University Board of Trustees :

OR : Anticipated approval date by University Board of Trustees :
(Follow-up confirmation of UBOT approval will be required)

Prepared By : Maclain Benton

850-644-7971

* Revenue as outlined in the Bond Covenants to support the debt servicing of the bonds.

UNIVERSITY AXILIARY FACILITIES
NARRATIVE SUPPLEMENT TO INCOME AND EXPENDITURE STATEMENT
TO BE PROVIDED TO BOARD OF GOVERNORS MEMBERS

1. Do the pledged revenues reported contain any overhead assessments ? If yes, please explain.
University overhead is included in "other expense"
2. Do pledged revenues or expenditures change year over year 10% or more ? If yes, please explain.
Yes. Pledged revenues and expenditures will increase between 16-17 and 17-18 due to the opening of the new Magnolia and Azalea Halls in Fall 2017.
3. Please explain amounts categorized as "other".
"Other Income" consists of funds received from laundry services in the Residence Halls as well as miscellaneous income which includes cell tower rental income.
"Other Expense & Transfers Out" consists of transfers out for University administrative overhead charges.
"Other" in the Replacement Reserve categories refers to the Housing System's internal designated fund for renewal and replacement projects including, but not limited to: specific hall renovations, mechanical upgrades, and other planned major projects.
4. Add lines as needed for additional university comments. This information will be shared with Board of Governors members.

INCOME AND EXPENDITURE STATEMENT

UNIVERSITY: Florida State University

BOND TITLE: Parking Facilities Bond Series 2011A, 2014A, 2017A

AUXILIARY FACILITY (IES): Parking & Transportation Services

	2016-17 Actual	2017-18 Estimated	2018-19 Projected
1. REVENUE CARRIED FORWARD			
A. Operating Cash Carried Forward:			
Liquid	3,395,392	3,520,568	3,487,602
Investments	0	0	0
Sub-Total:	3,395,392	3,520,568	3,487,602
B. Replacement Reserve Forward:			
Bond Covenants (Facilities Maintenance and Equipment)	2,612,752	2,679,804	2,473,364
Other	142,368	479,859	886,565
Sub-Total:	2,755,120	3,159,663	3,359,929
TOTAL CARRIED FORWARD (A +B):	6,150,512	6,680,231	6,847,531
2. CURRENT YEAR REVENUE:			
* Revenue	12,495,485	12,564,500	12,778,174
Interest Income	74,613	80,000	80,000
Other Income	19,089	0	0
TOTAL CURRENT YEAR REVENUE:	12,589,187	12,644,500	12,858,174
3. SUMMARY OF AVAILABLE REVENUES (1 +2):	18,739,699	19,324,731	19,705,705
4. EXPENDITURES			
Salaries and Matching	1,276,596	1,320,000	1,377,163
Other Personal Services	317,868	360,000	360,000
Operating Expense	5,384,042	5,430,819	5,874,049
Repairs and Maintenance	128,562	417,000	697,490
Debt Service	4,718,051	4,739,518	4,735,680
Repair and Replacement Expense	5,500	0	0
Operating Capital Outlay	15,868	9,000	10,000
Other Expense & Transfers Out	217,714	234,129	240,493
TOTAL EXPENDITURES:	12,064,201	12,510,466	13,294,875
5. TRANSFERS TO REPLACEMENT RESERVES			
Bond Covenants (Facilities Maintenance and Equipment)	0	0	0
Other	399,810	167,000	150,000
Sub-Total:	399,810	167,000	150,000
6. TRANSFERS FROM REPLACEMENT RESERVES			
Bond Covenants (Facilities Maintenance and Equipment)	0	0	0
Other	916	0	0
Sub-Total:	916	0	0
7. ENDING REPLACEMENT RESERVES (1B +5 -6)			
Bond Covenants & Other (Facilities Maintenance and Equipment)	3,154,014	3,326,663	3,509,929
Interest Income Earned on Reserve Balance	5,649	33,267	35,099
Sub-Total:	3,159,663	3,359,929	3,545,029
8. ENDING OPERATING CASH (1A +2 -4 -5)	3,520,568	3,487,602	2,900,901
9. SUMMARY OF ENDING REVENUES (7 +8)	6,680,231	6,847,531	6,445,930

*** REQUIRED INFORMATION ***

Date budget approved by University Board of Trustees :

OR : Anticipated approval date by University Board of Trustees:
(Follow-up confirmation of UBOT approval will be required)

Prepared By : Celeste Pullen

850-644-2161

* Revenue as outlined in the Bond Covenants to support the debt servicing of the bonds.

UNIVERSITY AXILIARY FACILITIES
NARRATIVE SUPPLEMENT TO INCOME AND EXPENDITURE STATEMENT
TO BE PROVIDED TO BOARD OF GOVERNORS MEMBERS


1. Do the pledged revenues reported contain any overhead assessments ? If yes, please explain.
University overhead is included in "other expense" and Office of Business Services overhead is included in "operating expenses"
2. Do pledged revenues or expenditures change year over year 10% or more ? If yes, please explain.
No. Pledged revenues and expenditures do not change more than 10% year over year from Actual 2016-17
3. Please explain amounts categorized as "other".
"Other Expenses & Transfers Out" consist of transfers out for University administrative overhead charges and interest expense.
"Other" in the Replacement Reserve categories refers to the Parking System's internal designated fund for renewal and replacement projects.
4. Add lines as needed for additional university comments. This information will be shared with Board of Governors members.



FLORIDA STATE UNIVERSITY
OFFICE OF THE VICE PRESIDENT
FOR FINANCE & ADMINISTRATION

MEMORANDUM

TO: John Thrasher, President

FROM: Kyle Clark, Vice President of Finance & Administration 

DATE: February 9, 2018

SUBJECT: Request for Approval
Regulation Repeal - FSU-2.018 Control of Radiation Hazards.

The Regulation is not needed as the regulation of radiation hazards is governed by Federal and State law. Any procedural details may be properly addressed in policy. Additionally, the regulation itself is not current.

This has been reviewed by affected officials and noticed for comment with none received.

I recommend your approval of this amendment.

KC/rg

Attachment

Approved

FSU-2.018 Control of Radiation Hazards.

~~(1) General. Each research investigator or instructor using radioactive material is responsible for its safe use and proper control in accordance with this operating procedure, common practice, and directives issued by the Radiation Control Committee. All persons working with radioactive material must have had formal instruction or experience, or be under the direct supervision of an individual who has experience in handling radioactive material. All proposed uses of radioactive material must be approved by the Radiation Control Committee before use is initiated. The University Radiological Safety Officer is the agent primarily responsible for the administration of the Radiation Safety Program.~~

~~(2) Obtaining approval to use Radioactive Material. Before engaging in experiments involving radioactive material for research or instruction, approval must be obtained from the Radiation Control Committee. Requests to use radioactive material in specific areas are to be submitted in duplicate on "Proposal for Use of Radioactive Materials" forms. The Radiological Safety Officer will assist in the completion of the form and will present the request to members of the Radiation Control Committee for evaluation. Approval will be granted if the Committee agrees that the proposed use satisfactorily meets adequate control and radiological safety requirements.~~

~~(3) Signs and Labels. Radiation warning signs bearing the American Standard Radiation Symbol and the proper wording must be posted in areas subject to radiation hazards. For proper posting of radiation signs identifying restricted areas, consult the Radiological Safety Officer. Containers of radioactive material must bear labels with the radiation symbol, the words "Caution (or Danger) Radioactive Material", and a listing of the radioisotope, the quantities, and the date of measurement of the quantities. Additional information on or near the containers may be provided if it will help minimize radiation hazards. Containers that are used temporarily during laboratory radioactive work are to be labeled as "Radioactive." The specific source of contamination does not need to be listed. Proper signs and labels may be obtained from the Radiological Safety Officer.~~

~~— (4) Waste Disposal. Radioactive waste is not to be discarded by regular means of disposal, but only as directed by the Radiological Safety Officer.~~


Specific Authority BOG Regulation 1.001(3)(j) Law Implemented 120.53(1)(b) FS. History New 9-30-75, Formerly 6C2-2.18.



FLORIDA STATE UNIVERSITY
OFFICE OF THE VICE PRESIDENT
FOR FINANCE & ADMINISTRATION

MEMORANDUM

TO: John Thrasher, President

FROM: Kyle Clark, Vice President of Finance & Administration 

DATE: February 9, 2018

SUBJECT: **Request for Approval**
Regulation Amendment - FSU-2.022 Employee Debt Collection

The amendment allows notice by email, updates the appeal provisions to be consistent with current law and updates citation references.

This has been reviewed by affected officials and noticed for comment with none received.

I recommend your approval of this amendment.

KC/rg

Attachment

Approved

FSU-2.022 Employee Debt Collection.

(1) Purpose. The purpose of this regulation rule is to provide procedures for the recovery of non-salary sums due and owing to the University by its employees. Indebtedness to the University assessed pursuant to Board of Governors Regents and University regulations rules is considered indebtedness to the State of Florida. It is subject to enforcement by University regulation rule. The purpose of this regulation rule is to provide procedures for the recovery of non-salary sums due and owing to the University by its employees. Indebtedness to the University includes but is not limited to, delinquent accounts receivable, including student loans and registration fees; traffic or library fines; payment for the reasonable value of University property entrusted to an employee and not returned or otherwise accounted for; travel advances made to but not repaid by the employee; bad checks; and other similar obligations.

(2) Definitions.

(a) Debt – a specific sum of money owed by an employee to the University; a fixed and certain obligation to pay money; the debt may be a single obligation or an aggregate of separate debts.

(b) Employee – any part time or full time employee of the University paid by state warrant from salary appropriations or from agency funds.

(c) Settlement – an agreement to accept a sum of money or other consideration from a person as full discharge of the debt due to the University. The sum may be less than the total amount owed.

(3) All amounts of indebtedness shall be due and unpaid to the University before any action is taken against an employee.

(4) Initial attempts at collection. The department or its equivalent to which an employee has incurred a debt is responsible for the initial efforts to collect the amount of indebtedness. If the department is successful in collecting the debt no further action is required. If the department is unsuccessful in collecting the debt, it shall contact the Office of the University Controller for further action. The department shall forward to that office copies of all records and documentation of the indebtedness and of the efforts toward recovery. The information to be forwarded shall include:

- (a) Name, home and campus addresses, and social security number of the person owing the debt.
- (b) The original amount owed, plus any penalties or interest owed, and a record of any payments made.
- (c) A brief description of the transaction which resulted in the debt, including relevant dates and time periods.
- (d) A brief description of the efforts made to collect the debt.
- (e) Any other pertinent information.

(5) Form of payment. Payment of indebtedness may be made by the individual or the individual's representative by money order, certified or cashier's check, cash, or payroll deduction from wages. Collection by personal check is discouraged but will be accepted.

(6) Means of Collection. The University Controller shall verify the amount of the indebtedness with the department head originating the charges and debt and establish the manner of its recovery. The University Controller may employ one or more of the following means of collecting monies due the University:

- (a) Issue University collection letters.
- (b) Hold transcripts or current grades.

(c) Withhold registration privileges at Florida State University.

(d) Turn delinquent accounts over to a collection agency.

(e) After consultation with the University Attorney refer the debt to the Department of Banking and Finance of the State of Florida for prosecution by the appropriate state attorney under provisions of Section 17.20, Florida Statutes, or for assignment to a debt collection agent if that Department determines that approach to be cost effective.

(f) Seek a voluntary wage deduction from the employee. Each debt will be handled on an individual case basis. In the interest of fairness and equity, it is acknowledged that an individual who has incurred an indebtedness may be unable to pay the total amount in a lump sum. If such is the circumstance and the individual agrees to equitable partial payments over a limited period of time, the Controller may prepare a promissory note and proposed schedule of payments for the employee's signature. Any deduction authorization shall be kept in the permanent personnel file of the employee.

(g) If the employee refuses to voluntarily pay the indebtedness to the University, the Controller may initiate involuntary deductions from future salary payments due the employee, using the set-off procedures specified below until the total amount of indebtedness has been collected.

(7) Set-off Procedures. Involuntary wage deductions based on the common-law right of set-off shall be considered and used only where other reasonable efforts have failed.

(a) The employee who owes a debt to the University will be advised by certified letter (restricted delivery), or by email to the employee's official University email address, from the University Controller's Office that the employee he/she has ten calendar days from the receipt of the letter or email to either clear the account, make satisfactory payment arrangements, or submit documentary evidence disputing the employee's his/her debt. The employee shall be given an opportunity during normal business hours of the University to review the documentation and evidence of the employee's his/her indebtedness to the University and has the right to submit documentary evidence to refute the indebtedness within a reasonable time therefrom.

(b) If no arrangements for payment have been made by the end of the ten calendar day time period, all evidence of the employee's debt will be reviewed by the University Controller.

(c) If, upon that review, a verification of the debt is made and it is determined that an agreement as to voluntary payments or voluntary wage deductions cannot be reached with the employee, the employee will be notified by U. S. mail, or by email to the employee's official University email address, of the fact set-off procedures will be implemented on a date certain, not sooner than 10 work days from receipt of the notice, and of the amount and duration of the deductions from the employee's his/her salary warrant. The employee will also be advised of the employee's his/her right to any administrative review of the decision to set-off the employee's his/her debt and deduct funds from the employee's paycheck, including rights under the provisions of Section 120.57, Florida Statutes including judicial review of any final University decision, pursuant to Florida Rule of Appellate Procedure 9.190, applicable to review of quasi-judicial decisions of an administrative body not subject to the Administrative Procedure Act, by filing a petition for certiorari review within thirty (30) days of the date of the final University decision.

(8) Amount of Payroll Deduction under Set-off Procedures.

(a) In the event that the total amount of the debt is less than 10% of the employee's biweekly gross salary, the full

amount of the employee's debt may be deducted in the first or second pay period following the date of notification in subsection (6) above.

(b) If the amount of the debt is greater than 10% of the employee's gross biweekly salary, the amount deducted each period may be up to 10% of the employee's gross salary but will not exceed 20% of the employee's net salary after mandatory deductions.

(9) In the event an employee-debtor is terminated, abandons employment, voluntarily leaves the University, or dies while in University employment, the amount of the debt, up to the total of the net salary less \$1.00, will be deducted from the employee's final salary payment or from the employee's terminal leave payments.

(10) Settlement of Delinquent Accounts. The University President or his designee may settle delinquent accounts after all reasonable and lawful collection attempts have failed.

(11) Write-off of Uncollectible Debts. The President may write-off a debt as uncollectible after all reasonable and lawful collection attempts have failed.

Specific Authority BOG Regulation 1.001(3)(j), ~~(5), (6)~~ Law Implemented 1010.03 240.227(1), 240.291 FS. History—New 4-14-86, Amended _____


~~Cf. Rules FSU 2.009, FSU 2.0091, FSU 2.005, FSU 2.006, FSU 2.007, FSU 2.010, FSU 3.037, FSU 4.007, FSU 4.061, FSU 4.063, FSU 6.008, FSU 6.009, FSU 6.014, F.A.C., Sections 215.34, 240.459, 240.415, 240.499, 240.451 F.S.~~



FLORIDA STATE UNIVERSITY
OFFICE OF THE VICE PRESIDENT
FOR FINANCE & ADMINISTRATION

MEMORANDUM

TO: John Thrasher, President

FROM: Kyle Clark, Vice President of Finance & Administration 

DATE: February 9, 2018

SUBJECT: Request for Approval
Regulation Amendment - FSU-2.023 Public Records, Uniform Charge
Procedure

The amendment removes telephone numbers from the university's definition of directory information under the Family Educational Rights and Privacy Act.

This has been reviewed by affected officials and noticed for comment with none received.

I recommend your approval of this amendment.

KC/rg

Attachment

Approved

FSU-2.023 Public Records: Uniform Charge Procedure.

(1) This regulation constitutes the University's uniform procedure for the assessment and collection of charges for the duplicating or copying of public records, at the request, or for the benefit of, any individual citizen or non-University-related, non-state agency organization or enterprise.

(2) In construing this rule where context will permit:

(a) The following terms are defined by the provisions of Section 119.011, F.S.:

1. "Public Records";

2. "Criminal Intelligence Information";

(b) "Criminal Investigative Information". "Directory Information – Students".

1. This term consists of, and applies to the following information on a student:

a. Name, date and place of birth;

b. Local address;

c. Permanent address;

~~d. Telephone listing;~~

~~e. d. _____~~ Classification;

~~f. e. _____~~ Major field of study;

~~g. f. _____~~ Participation in official University activities and sports;

~~h. g. _____~~ Weight and height of members of athletics teams;

~~i. h. _____~~ Dates of attendance at the University;

~~j. i. _____~~ The most recently attended educational institution;

~~k. j. _____~~ Degrees, Honors and Awards Received.

~~l. k. _____~~ Student identifier number, commonly known as EMPLID.

2. Directory information on students may be released or published by the University without prior written consent of the student, unless exception is made in writing by the student.

(3) Records Confidential or Exempt from Public Inspection. The University may not provide those records confidential or exempt from public disclosure by Section 119.071, F.S., or any other general law or special act when such laws or acts are applicable to an activity of the University. Confidential or exempt records of the University include:

(a) Criminal intelligence records.

(b) Criminal investigation records.

(c) Academic evaluations of employee performance.

(d) Certain student records, including those in the academic permanent folder, excluding directory information as defined herein.

(e) Records of the University Health Center and Counseling Center.

(f) Records of the University Attorney prepared for or in anticipation of adversarial criminal, civil or administrative proceedings.

(g) Sealed bids, proposals, or replies received pursuant to a competitive solicitation and, prior to their opening or notice of an intended decision.

(h) Documents regarding negotiations for acquisition of real estate.

(i) Data processing software obtained under a licensing agreement which prohibits disclosure.

(j) Trade Secrets.

(k) Complaints and other records relating to a complaint of discrimination involving race, color, religion, sex, national origin, age, handicap, marital status, hiring practices, position classification, salary benefits, discipline, discharge, evaluation, or other related activities.

(l) Certain records related to Research and Grants.

(m) The records of direct support organizations such as the Florida State University Foundation, and the Seminole Boosters.

(4) Uniform Charge Procedure.

(a) Persons or organizations making requests for copies of public records shall reimburse the University for applicable costs. If the nature or volume of the record(s) is such as to require extensive clerical or supervisory assistance by University personnel in addition to the cost of duplication, a special service charge shall be assessed based on labor costs as provided herein. Charges for copying public records shall be levied and collected by the custodian of the records reproduced.

(b) Private citizens or private organizations shall be assessed a charge of 15 cents per one sided copy, and an additional 5 cents per two-sided copy. Each printed side of a copy shall count as a page.

(c) When University personnel time or supervisory assistance devoted to researching, retrieval and/or copying of University records or use of information technology resources exceeds thirty (30) minutes, it shall be considered extensive use of information technology resources or extensive clerical or supervisory assistance. In such case, the University may charge, in addition to the actual cost of duplication, a special service equal to the reasonable actual costs incurred.

(d) Computer discs or other portable storage devices provided by the University shall be charged at cost.

(5) Processing Payment for Copies.

(a) Fees assessed for the copying of public records shall be paid prior to the requester receiving the copies. Fees assessed as a special service charge shall be paid prior to any extensive use tasks being undertaken. Payment may be made by cash, check, or money order.

(b) All monies collected from such transactions shall be deposited with the University Cashier, using the standard University deposit slip, FSU Form DT118 (Rev. 6-73), incorporated herein by reference and available to record custodians from the University Printing and Postal Services office. The Cashier's Office requires only an original of the Deposit Slip.

(c) Depositors will use the Revenue Object Code 001901. The Explanation of Deposit on Form DT118 will be used to identify record revenues from transactions exceeding ten (10) pages of printed copy or services rendered in excess of thirty (30) minutes. Originators of the completed Deposit Slip may make copies of Form DT118 for departmental records and they may also be utilized by a custodian as a receipt for payment made and information received.

Specific Authority BOG Regulation 1.001(3)(j) Law Implemented 119.07(1), 1002.222, 1006.52, FS. History—New 7-15-93, Amended 11-22-98, 10-9-2015, _____



FLORIDA STATE UNIVERSITY
OFFICE OF THE PROVOST

TO: President John E. Thrasher
FROM: Provost Sally McRorie *SMcRorie*
DATE: February 13, 2018
SUBJECT: Report on 2018-19 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 2018 – 2019 (approved)

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

Fall 2018

Beginning Date:	August 27	Monday
Ending Date:	December 14	Friday
Law Beginning Date:	August 27	Monday
Law Ending Date:	December 14	Friday
College of Medicine:	See attachment	

<u>Month</u>	<u>Number of Days</u>
August—N/A	5
September— Labor Day-September 3	21
October —half day, Homecoming	24
November—Holidays-November 12, 21, 22, 23	19
December—N/A	11
Total	80

Five (5) working days between the end of Fall and start of assumed Winter Break: Monday, Dec. 24 – Tuesday, Jan. 1

Spring 2019

Beginning Date:	January 7	Monday
Ending Date:	May 3	Friday
Law Beginning Date:	January 7	Monday
Law Ending Date:	May 3	Friday
College of Medicine:	See attachment	

<u>Month</u>	<u>Number of Days</u>
January—MLK Day – January 21	19
February—N/A	22
March—Spring Break – March 18-22	17.5
April—N/A	24
May—N/A	3
Total	85.5

Five (5) working days between semesters (excluding law summer session)

2018-2019 Academic Calendar

Class 2019: (4th years, cohort M004)

Summer 2018 semester	05/14/18 - 08/03/18
Fall 2018 semester	08/06/18 - 12/21/18
Spring 2019 semester	01/07/19 - 05/17/19
Graduation:	May 18, 2019

Class 2020: (3rd years, cohort M003)

Summer 2018 semester	05/28/18 - 08/24/18
Fall 2018 semester	08/27/18 - 12/14/18
Spring 2019 semester	01/07/19 - 05/10/19

Class 2021: (2nd years, cohort M002)

Fall 2018 semester	08/20/18 - 12/21/18
Spring 2019 semester	01/02/19 - 05/17/19

Class 2022: (1st years, cohort M001)

Summer 2018 semester	05/29/18 - 08/10/18
Fall 2018 semester	08/20/18 - 12/21/18
Spring 2019 semester	01/02/19 - 05/03/19



MEMORANDUM

To: President John Thrasher

CC: The Committee on Campus Names and Tom Jennings, Ph.D.

From: Andy Miller & Colson Hosford

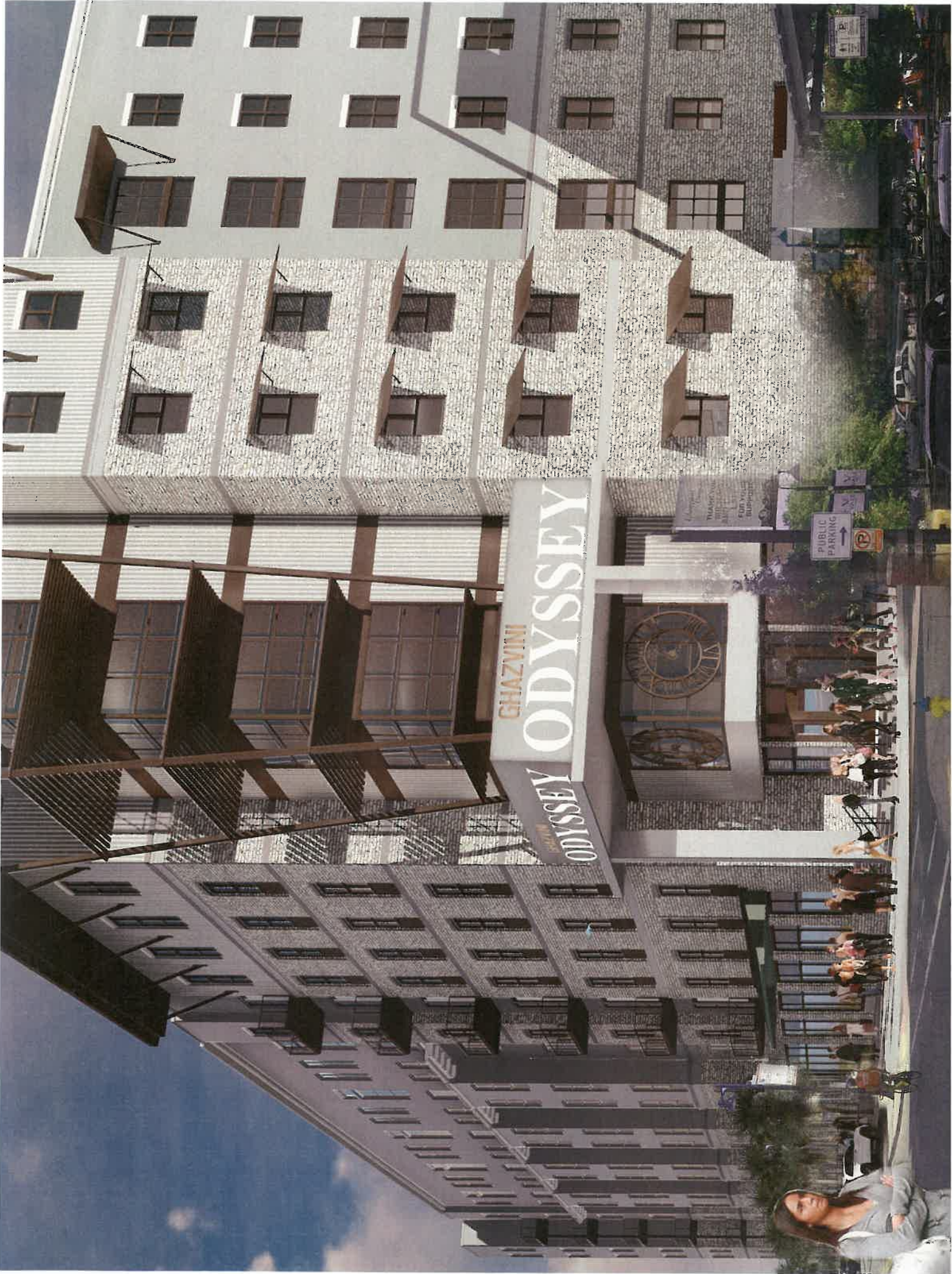
Subject: The Ghazvini's Odyssey Gift Agreement

The Ghazvini family has pledged a new \$5.8 million gift to the Seminole Boosters to support facility needs for the FSU Athletic Department, as described in the attached documents. The gift is contingent upon the third phase of College Town being named "Ghazvini's Odyssey".

Over the past 20 years the Ghazvini Family has donated over \$4.2 million in real estate gifts. The Seminole Boosters want to honor the family with the naming opportunity presented in the attached agreement. The next \$800,000 in real estate gifts received will go towards this naming opportunity. The additional \$5M pledged will go towards a future facility need and an additional naming opportunity once 20% (\$1M) has been received.

Phase III of College Town will be a student living project consisting of 308 beds wrapped around a parking garage with 423 total parking spaces. The project will also have a flexible space on the first floor to be a creative work space, or an accelerator for young entrepreneurs, alumni, and current students seeking to grow their respective businesses/ideas. Pledged Revenues include the Net Revenues for the College Town III project. The projected annual Net Revenues (before debt service) pursuant to projections by the Project Developer are \$2,039,011.

I respectfully request approval of Ghazvini'S Odyssey at College Town Phase 3 ON Madison Rd.



GHAZVINI
ODYSSEY
ODYSSEY

PUBLIC
PARKING

WOMAN SITTING ON BENCH



ALUMNI ASSOCIATION

National Board of Directors

Bylaws of the Florida State University Alumni Association

as revised: February, 2018

ARTICLE I

General

SECTION A. NAME. The name of this association (the “Association”) is the Florida State University Alumni Association, a nonprofit corporation incorporated under the laws of the State of Florida.

SECTION B. LOCATION. The principal office and place of business of the Association is located at Florida State University (the “University”), Tallahassee, Leon County, Florida.

SECTION C. OFFICIAL SEAL. The official seal of the Association shall be kept by the President (the “President”) of the Association in the Association’s principal office and shall be affixed to all legal documents or transactions as required.

SECTION D. PURPOSE AND OBJECTIVES. The Association is organized to promote the welfare, development and advancement of the University and its educational, scientific and programmatic purposes within the meaning of Section 501(c)(3) of the Internal Revenue Code, or the corresponding provisions of any future Internal Revenue Service Law. To the extent permitted within the meaning of Section 501(c)(3) of the Internal Revenue Code, the Association serves Members, Alumni and Constituents (all as defined in Article II) by:

1. ~~developing~~ Developing and sustaining meaningful relationships between and among Members, Alumni, Constituents and the University;
2. ~~fostering~~ Fostering the-a sense of responsibility among Members, Alumni and Constituents to support the Association and the University through membership and private giving;
3. ~~perpetuating~~ Perpetuating among Members, Alumni and Constituents a sentiment of affection for the University;
4. ~~recognizing~~ Recognizing the accomplishments of Members, Alumni and Constituents;



5. ~~encouraging~~ Encouraging the support of Members, Alumni and Constituents for the University's programs and future development; and
6. ~~servicing~~ Servicing Members, Alumni and Constituents in pursuit of their careers and professional development.

SECTION E. LIMITATIONS. The Association is organized and operated exclusively for charitable and educational purposes within the meanings of Section 501(c)(3) and Section 170(c)(2)(b) of the Internal Revenue Service Code or the corresponding provisions of any future United States Internal Revenue Law. No part of net earnings shall be to the benefit of or be distributable to its Directors or Officers, other private individuals, or associations organized and operating for a profit, except that the Association shall be authorized and empowered to pay reasonable compensation for services rendered and to make payments and distributions in furtherance of those purposes as hereinabove stated. No substantial part of the activities of the Association shall be the carrying on of propaganda or otherwise attempting to influence legislation, and the Association shall not participate or intervene in, including the publishing or distributing statements, any political campaign on behalf of or in opposition to any candidate for public office.

SECTION F. FISCAL YEAR. The Fiscal Year of the Association is July 1 through June 30, inclusive, unless otherwise defined.

SECTION G. EXISTENCE. This Association shall have perpetual existence.

ARTICLE II

Membership

SECTION A. The Association will have the following classes of membership:

1. ALUMNI. All persons who have been enrolled and successfully completed one academic term as a full-time student at the University will be Alumni.
2. CONSTITUENTS: All employees, donors, supporters, advocates, associates and friends of the University, together with families of (a) all of the foregoing, (b) students of the University and (c) Alumni.
3. HONORARY ALUMNI. ~~Any~~ Subject to reasonable due diligence and a background check, any Constituent(s) may be granted ~~permanent or removed from~~ permanent or removed from Honorary Alumni status by the ~~executive committee of the~~ executive committee of the Association's Board of Directors (the "Board") ~~and the Board~~, in recognition of conspicuous, ongoing, enduring and dedicated service on behalf of the University or the Association.
4. MEMBERS. Those classifications of individuals identified in this Section and all other persons who pay the continuing annual, five-year or lifetime dues as established by the Association from time to time shall be members (individually, a "Member" and collectively "Members") of the Association.

SECTION B. RIGHT TO HOLD OFFICE. Everyone who serves on the Association's Board (individually a "Director" and collectively, "Directors") must be a Member of the Association. Everyone who serves on a committee of the Association's Board shall be a Member and be appointed by the chair ("Chair") of the Board. The chair of any Association committee must be a current or former Director who has retained interest in, proximity to and service on behalf of the Association.

SECTION C. PROPERTY RIGHTS. No Member shall have any right, title or interest in any of the property or assets, including any earned or investment income of this Association, nor shall any of the property or assets be distributed to any Member upon dissolution of the Association.

SECTION D. LIABILITY OF MEMBERS. No Member will be personally liable for any of the Association's debts, liabilities or obligations, nor will any Member be assessed for the debts, liabilities or obligations of the Association.

ARTICLE III

Seminole Clubs and Chapters

SECTION A. PURPOSE. This Association, with the support, funding and authorization of the University ~~and in cooperation with Seminole Boosters, Inc.~~, shall establish, promote and serve local clubs (collectively, "Seminole Clubs" or "Clubs") and chapters (collectively, "Seminole Chapters" or "Chapters") composed of Members. The purpose of these Clubs and Chapters is to further the purposes of the University by supporting academic, athletic and other programs. The Clubs and Chapters shall assist in the recruitment of students, support academic scholarships, promote community service initiatives and engage in "friend-raising" on behalf of the University.

SECTION B. ORGANIZATION. Any group desiring to organize as a Seminole Club or Seminole Chapter shall notify the President. To be formally established, a Seminole Club or Seminole Chapter must be approved for formation by the Board.

Further, the Board of the Association has the authority to terminate a Club or Chapter at any time by a two-thirds (2/3) vote of its Directors present at a regular meeting. Such Club or Chapter shall be informed by written notice of the proposed action and its justification at least thirty (30) calendar days prior to the Board meeting at which such action is scheduled to take place. The Club or Chapter shall be further advised by such written notice that it may be represented by its delegate or by counsel in all proceedings relevant to the proposed action.

SECTION C. LIABILITY. The Association shall not be liable or in any way responsible for any actions of the local Seminole Clubs or Seminole Chapters, including, without limitation, any negligence or willful misconduct of such Clubs or Chapters or their members agents, employees or invitees.

ARTICLE IV

Constituent Groups

SECTION A. PURPOSE. From time to time, the Board may recognize affiliated groups of the University (including but not limited to the Student Alumni Association, Emeritus Alumni, Young Alumni Association and the Black Alumni Association) (individually, a "Constituent Group" and collectively, "Constituent Groups") organized to further the purposes of the University. Such Constituent Groups will be organized and recognized and regulated in accordance with policies or criteria to be established by the Board from time to time.

SECTION B. LIABILITY. The Association shall not be liable or in any way responsible for any actions of such Constituent Groups or their members, agents, employees or invitees, including, without limitation, any negligence or willful misconduct of such Constituent Groups or their members, agents, employees or invitees.

ARTICLE V

Meetings of the Association and its Members

SECTION A. ANNUAL MEETINGS. An Annual Meeting of the Association and its Members shall be held as determined by the Chair in consultation with the President. The time and place of the Annual Meeting shall be announced by written notice conveyed to the Members and Directors at least thirty (30) calendar days in advance of the meeting.

SECTION B. SPECIAL MEETINGS. Special meetings of the Association and its Members for any purpose may be called by the Chair or President or at the request in writing of a majority of the Directors.

SECTION C. TIME AND PLACE OF MEETINGS. All meetings of the Association and its Members other than the Annual Meeting shall be held at the time and place as designated by the Chair or the President.

SECTION D. PROCEDURES. All meetings of the Association and its Members shall be conducted according to the latest edition of Robert's Rules of Order Newly Revised.

ARTICLE VI

Directors

SECTION A. POWERS. The primary functions of the Board include establishment of policy, organizational vision and prudent care and development with respect to the Association's Members and resources. The Board determines the general and financial policies of the Association and may delegate the performance of any duties or the exercise of any powers to the Officers, committees and its designees as the Board determine by resolution.

SECTION B. RESOLUTION. The Board may, after duly adopting an appropriate resolution, authorize any Officer of this Association, in addition to the Officers authorized by these Bylaws, to enter into any contract or to execute and deliver any instrument in the name of and on behalf of the Association. The authority may be general or confined to specific instances.

SECTION C. ELIGIBILITY. Only Alumni who are Members shall be eligible for election to the Board.

SECTION D. DIRECTORS - NUMBER AND TERM. The number of Directors of the Association shall not exceed forty (40). They shall consist of at least the following: ~~the~~ Chair, ~~Chair-elect~~, Vice Chair, ~~Secretary~~, ~~Treasurer~~, ~~the~~ immediate Past Chair; ten (10) Directors appointed by the University President; and no more than eighteen (18) Directors elected at Large. The Directors appointed by the University President and the Directors elected at large shall be collectively referred to herein as "Regular Directors", at least eight (8) of whom must ~~be from~~reside outside ~~the state~~ of Florida (~~Residence shall be determined effective as of the initial date of appointment, reappointment, or election~~). In addition thereto, there shall be six (6) continuing Directors (collectively "Continuing Directors") who shall be the President, the President of the University or the President of the University's designee (the President of the University or the President of the University's designee, as applicable, shall collectively only be entitled to one vote), the President of the FSU Emeritus Board, the President of the FSU Black Alumni Association, the President of the Student Alumni Association, and the Chair of the Florida State University Board of Trustees or the Chair's designee (the Chair of the Florida State University Board of Trustees or the Chair's designee, as applicable, shall collectively only be entitled to one vote). Except as

otherwise specifically provided herein, all Regular Directors and Continuing Directors shall be voting members of the Board with one vote each.

SECTION E. INVITED GUESTS (NON-VOTING). The President of the University (in the event that the President of the University's designee is scheduled to attend such Board meeting), Past Chairs of the Association, Permanent Senior Class Presidents, the Faculty Senate President, the Senior Class President, the Chair of the Seminole Booster Board of Directors, the Chair of the Board of Trustees of the FSU Foundation and the Chair of the Florida State University Board of Trustees (in the event that the Chair's designee is scheduled to attend such meeting) are invited guests (collectively "Guests") to each Board meeting. From time to time, the Chair and/or the President may, at their discretion, select and invite additional Guests to meetings of the Board. Guests shall not be entitled to vote at meetings of the Board.

SECTION F. TERMS OF DIRECTORS. A Regular Director shall be elected or appointed to a three-year term. Terms shall be staggered such that up to one-third of all Regular Directors stand for re-election or re-appointment every year. Regular Directors may be re-elected or re-appointed for one additional three-year term. Continuing Directors shall be appointed to a one-year term. A Continuing Director may apply to become a Regular Director for a three-year term in accordance with the procedures outlined in Section H below. If a Continuing Director is elected to the Board as a Regular Director and serves an initial three-year term, he or she may be re-elected for one additional three-year term. If a Regular Director is an Officer, that Director may be re-elected for such additional time needed to fulfill the requirements of that office.

SECTION G. Committees. The Board shall establish an executive committee, a board development committee and an audit and finance committee and approve a committee charter for each. The Board, and may designate one or more other committees, each committee to consist of one or more of the Directors of the Association. The charter for such additional committees must be approved by the executive committee. Any committee, to the extent allowed by law and provided in the committee charter approved by the Board establishing such committee, shall have and may exercise all the powers and authority of the Board in the management of the business and affairs of the Association. Each committee shall keep regular minutes and report to the Board when required. A majority of any committee may determine its action and fix the time and place of its meetings. Notice of such meetings shall be given to each member of the committee in the manner provided for in these bylaws. The Board Chair shall have power at any time to fill vacancies in, or to change the membership of any such committee. Any committee designated by the board may be dissolved by a majority vote of the Board.

~~Section G. — BOARD DEVELOPMENT COMMITTEE. — The Board Development Committee, charged with determining the slate of Officers and nomination of new Directors, shall be chaired by the Chair-Elect. This Committee shall consist of no more than two (2) current Officers (including the Chair-Elect), the University President's designee, the Association President, and seven (7) other Regular Directors. These seven (7) Regular Directors appointed by the Chair-Elect shall include four (4) in-state Directors and three (3) out-of-state Directors.~~

~~Section H. — NOMINATION AND ELECTION OF DIRECTORS AND OFFICERS. — The Board Development Committee shall recommend candidates for election as Regular Directors of the Association to the University President and the Board, and recommend to the Board, the University President and the Association President persons deserving of election as Officers of the Board. The Committee shall:~~

~~1. — Present to the University President, by June 1 of each year, a slate of nominations for election or appointment as new Regular Directors, as well as those up for re-election or re-appointment consistent with Article VI, section 5. The University President shall, without undue delay, select names for new or~~

~~re-appointment to make up not less than 25% of all Regular Directors as provided in Section 3. The remainder of the nominees shall be presented for election or re-election, as appropriate, prior to the Annual Meeting.~~

~~2. Make recommendations for new Directors on the Board at such Meeting.~~

~~3. Review the attendance of and performance of all Directors, including those being considered for re-election, and oversee periodic performance reviews by the Board of its performance. If a Director fails to attend, in person, two (2) out of three (3) consecutive general Board meetings during his or her term, the Alumni Association Chair and the Board Development Committee Chair shall discuss the matter with the Director, determine whether the Director is willing and able to continue to serve, and report the findings to the Board Development Committee, which shall take such further action as deemed appropriate, after consultation with the President.~~

~~4. Maintain a list of candidates for election or appointment as Directors and cultivate their interest in the Association.~~

~~5. Receive recommendations for the slate of Board Officers at least thirty (30) calendar days prior to the Annual Meeting, and proffer the slate of Officers at the Annual Meeting. The election of Officers shall be confirmed and ratified by the Board at the Annual Meeting. Both Regular Directors and Continuing Directors (so long as any such Continuing Director has been reclassified as a Regular Director) may serve as Officers of the Board.~~

~~6. Oversee the orientation and development of new Directors.~~

~~Section I.~~ **SECTION H. VACANCIES AND REMOVAL.** Any Director may resign from the Board at any time upon delivering written notice to the Chair. If any vacancy occurs among Regular Directors of the Board ~~caused by death, resignation, retirement, disability, or otherwise for other reasons,~~ the Chair, ~~or in the case of a presidential appointment, the University President,~~ shall ~~may~~ appoint nominate a replacement Director to be elected by a majority vote of the Board. A replacement Director so ~~chosen~~ elected shall hold office for the duration of the replaced Director's remaining term. Any Director ~~appointed~~ elected to fulfill the remainder of his or her predecessor's term due to resignation, ~~or removal, or other cessation~~ of that term of that predecessor Director shall be eligible for election to two full subsequent terms as a Director.

In addition to vacancies presented by the preceding circumstances, it may be necessary, in rare cases, to remove existing Directors for various reasons prior to the end of his or her term. The removal of a Director can only be undertaken through the following process:

1. A removal petition, signed by two existing Directors and the President, is brought to the Board Development Committee for discussion.

2. Subsequent to discussion, the Board Development Committee votes whether to send the removal request to the full Board. Passage must be by two-thirds (2/3) of the quorum present.

~~3.~~ 3. Subsequent to passing committee, the motion is brought before the full Board for discussion and voting. Passage must be by two-thirds (2/3) of a quorum present at the Board Meeting.

~~Section J.~~ **SECTION I. MEETINGS.** The Board shall hold at least three meetings yearly, including the Annual Meeting. The Board shall meet during the Annual Meeting of the Association prescribed by Article V, Section 1.

1. The time and place of meetings of the Board shall be announced and conveyed to the Members and Directors by written notice at least thirty (30) calendar days in advance of the meeting.
2. A special meeting of the Board may be held at any time upon ten (10) calendar days advance written notice to the Members and Directors called by the Chair or President.

~~Section K.~~ **SECTION J. PROCEDURES.** All meetings of the Board shall be conducted according to the provisions contained in the latest edition of Robert's Rules of Order Newly Revised.

~~Section L.~~ **SECTION K. VOTING:**

1. **Quorum For Board Action.** One-half (1/2) of the Directors then serving (excluding any vacancies on the Board) constitutes a quorum of the full Board. An action approved by a majority of the Directors present at a meeting of the Board at which a quorum is present constitutes an act of the Board. A majority vote consists of more than one-half (1/2) of the votes cast at a meeting at which a quorum is present.
2. **Quorum for Committee Action.** One-half (1/2) of the Directors then serving on a committee of the Board (excluding any vacancies on the applicable committee) constitutes a quorum of that respective committee. An action approved by a majority of the Directors present at a meeting of the committee at which a quorum is present constitutes an act of that committee. A majority vote consists of more than one-half (1/2) of the votes cast at a meeting at which a quorum is present.
3. **Voting By Proxy.** A Director may not vote by proxy, and may not appoint any person to serve as his or her proxy, in connection with any Board or Board committee meeting or other Board or Board committee action.
4. **Voting, Sunshine Law.** Any action required or permitted by the Florida Not For Profit Corporation Act, University Regulation 6C2R-2.025, Board of Governors Regulation 9.011, or these bylaws to be taken at a Board meeting or Board committee meeting shall be taken in accordance with Chapter 286, Florida Statutes.

~~4.~~ 5. **Deadlock.** A deadlock shall be declared by the Chair only after a minimum of three votes on any motion contemplated during a meeting of the Board in which there is a quorum of the Board in attendance and where there are an equal number of votes cast for and against the motion. Having exhausted all reasonable efforts, in the discretion of the Chair, to resolve the deadlock, the Chair shall immediately convene those members of the board development committee who are present for the sole purpose of approving or rejecting the proposed motion that resulted in the deadlock, subject to the applicable provisions of Chapter 617 of the Florida Statutes. The board development committee meeting convened pursuant to this section is deemed to have satisfied any quorum and notice requirements.

~~Section M. — EXECUTIVE COMMITTEE. There shall consist within the Board of Directors an Executive Committee which shall consist of the Board Chair, Chair-Elect, Vice Chair, Secretary, Treasurer, Immediate Past Chair, (collectively, the "Officers"), the President, and the President of the University or the President's designee. The Chair shall have the privilege of appointing two additional members of the Executive Committee from among the Directors. This Committee shall have and exercise~~

~~all of the authority of the Board in the management of the Association, except that such Executive Committee shall not be empowered to take action with respect to:~~

- ~~1. Electing Officers and appointing other officials.~~
- ~~2. Amending Bylaws.~~
- ~~3. Filling vacancies and new directorships to the Board.~~
- ~~4. Removing Association Officers or Directors.~~
- ~~5. Authorizing or consummating individual transactions or expenditures in excess of Fifty Thousand and No/100 Dollars (\$50,000.00) annually, except when contemplated by the Association's approved budget.~~
- ~~6. Authorizing action regarding loans and the pledging of assets.~~

~~A complete, written set of minutes of each Executive Committee Meeting will be mailed to each Director within twenty (20) calendar days following such meeting.~~

Section N. **SECTION L. INDEMNIFICATION OF DIRECTORS.** Each person (including the heirs, executors, administrators, or estate of such person) (1) who is or was a Director or Officer of the Association, or (2) who is or was an agent, employee or representative of the Association other than an Officer and as to whom the Association has agreed to grant such indemnity, shall be indemnified by the Association as of right to the fullest extent permitted or authorized by current or future legislation or by current or future judicial or administrative decision, against any fine, liability, cost or expense, including attorneys' fees, asserted against him or incurred by him in his capacity as such Director, Officer, agent, employee or representative. The foregoing right of indemnification shall not be exclusive of other rights to which those seeking such indemnification may be entitled. The Association may maintain insurance, at its expense, to protect itself and any such person against any fine, liability, cost or expenses, whether or not the Association would have the legal power to directly indemnify such person against such liability.

ARTICLE VII

Duties of Officers and Directors

SECTION A. GENERAL RESPONSIBILITIES. The Officers and Directors of the Association shall have the following duties and responsibilities:

1. All Directors shall be subject to the following expectations and standards: (a) Directors are expected to attend Board and Committee meetings, make meaningful contributions to the Association, remain engaged with the Association and its Members and advance the purposes and objectives of the Association outlined in Article I, Section D; (b) Directors are expected to comply fully and completely with the Conflict of Interest provisions contained in Article XIII; and (c) Directors shall not commit any actions that cause or are reasonably calculated to cause the Association or its Members or the University to suffer any adverse or negative consequences.

2. All Directors shall aspire to support the Association financially on an annual basis above and beyond a membership in the Association, and prospective Directors shall be advised of this aspiration prior to appointment or election to the Board.

2.3. Chair – Serves as the Chair of the Board; presides at all meetings of the Board and the Members; appoints the standing committees, appoints special committees; serves as a member of all committees; and exercises the powers generally associated with the Chair of the Board. The Chair will

automatically serve as the Immediate Past Chair in the Fiscal Year commencing upon the expiration of the Chair's term. (See subsection 7-8 below.)

3-4. Chair-Elect – Takes on the responsibilities of the Chair in the event of the Chair's death, disability, resignation or absence; serves as an Ex-Officio Member of all committees in absence of the Chair. The Chair-Elect will automatically serve as Chair in the Fiscal Year commencing upon the expiration of the then Chair's term.

4-5. Vice Chair - Serves as Parliamentarian at all meetings of the Board, the Association and its Members, takes on responsibilities of Chair-Elect in the event of the Chair-Elect's death, disability, resignation or absence. The Vice Chair will automatically serve as Chair-Elect in the Fiscal Year commencing upon the expiration of the then Chair-Elect's term.

5-6. Secretary – Serves as the secretary to the Board; prepares the official minutes of all meetings of the Board and the Members, signs and attests to instruments and documents as required.

6-7. Treasurer – Serves as the treasurer of the Board; assists in the preparation of a proposed annual budget; assists in the direction of the development and maintenance of the financial accounts and records; signs and certifies all checks, drafts, vouchers, notes, instruments and documents as required in the event of the President's death, disability, resignation or absence, or at the direction of the Chair.

7-8. Immediate Past Chair – Serves on the Executive Committee and shall make himself or herself available for advice and consultation with the Officers and Directors of the Association on an as-needed basis.

8-9. President – Serves as the chief executive officer of the Association; serves as parliamentarian at meetings of the Board, the Association and its Members when the Vice Chair is not present; serves as a member of all special Board committees; and exercises the powers generally associated with the Office of the President. The President is not empowered to authorize or consummate any individual transactions or expenditures in excess of Twenty-Five Thousand and No/100 Dollars (\$25,000.00) annually without the express written consent and approval of the Board except when ~~contemplated~~ byincluded in the Association's approved budget.

ARTICLE VIII

Financial Affairs

SECTION A. SOURCE OF FUNDS. The Board, in conjunction with the University, shall establish sources of funds to ensure adequate operation of the Association for the Fiscal Year. Such funding sources shall include, but not be limited to, member dues established by the Board from time to time.

SECTION B. BUDGETS. The Treasurer, after consultation with the chair of the Audit and Finance Committee, shall prepare a proposed annual budget for revenues and expenditures of the Association which shall be approved by the Board at the beginning of each Fiscal Year. The proposed annual budget shall be submitted not later than May 1st by the President to the President of the University who shall recommend the proposed budget to the University's Board of Trustees for its review and approval. The Board shall approve the proposed budget by July 1st and the President shall submit a final budget to the President of the University no later than September 1st of each year. Budgets may be amended from time to time in the sole discretion of the Board. The Treasurer shall also provide quarterly reports of expenditures to the President of the University, or his or her designee.

SECTION C. AUDITS. An audit of the Association's financial statements shall be performed in accordance with generally accepted auditing standards ("GAAS") promulgated by the American Institute of Certified Public Accountants by a Florida certified public accountant at the close of every Fiscal Year. The Audit and Finance Committee shall meet annually with the independent auditor out of the presence of Management about internal controls and the completeness and accuracy of the Associations financial statements. All audit reports required by GAAS, including an expression of an opinion as to the fairness of the presentation of the Association's financial statements under GAAS, shall be presented to the Finance Committee and made available to the Board. A copy of the audit report shall be available for review by Members at the Executive Office of the Association.

The appointment of the auditor shall be approved by the Audit and Finance Committee. The Committee shall evaluate the auditor's qualifications, performance and independence annually. Such evaluation should include the review and evaluation of the lead partner of the independent auditors and take into account the opinions of the Associations management. Within a recommended time frame of every three to five years, the Committee in conjunction with the Foundation Staff, shall consider rotation of the audit partner and/or key engagement staff, and shall also consider solicitation of bids for performance of the audit and form 990 preparations by qualified, reputable firms with experience in performing audits of non-profit organizations.

ARTICLE IX

Amendments to Charter

SECTION A. ARTICLES OF INCORPORATION. Balloting on proposed amendments to the Articles of Incorporation of the Association shall be conducted in accordance with the provisions in the Articles of Incorporation and applicable Florida law by means of the following procedure:

1. A proposed amendment must be approved by a majority vote of the Directors.
2. In addition, a proposed amendment submitted to the Board by a petition bearing the signatures of at least two hundred (200) Members shall be presented to the Board by letter, in which case the Board may advise the Members of its position and recommendation with respect to the proposed amendment. The petition must be presented to the Chair or the President on an official form prepared by the President to facilitate the verification of signatures against the active roster of Members.

ARTICLE X

Executive Office

SECTION A. EXECUTIVE OFFICE. The Association shall establish and maintain an Executive Office at the University, or at such other location in Tallahassee, Florida as may be designated by the Board from time to time. The Executive Office shall be the central headquarters for the Association. The President and all staff personnel of the Association shall be headquartered at the Executive Office, except as may be otherwise provided by the Board from time to time. All membership records, budgets, financial accounts and records, minutes, instruments, documents, other records and reports, together with all furniture, equipment, supplies, and property of the Association, shall be kept in the Executive Office, except that funds and other specified items shall be deposited in banks and other institutions as directed by the Board from time to time.



**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 9, 2018

To: John Thrasher, President
Ed Burr, Chairman, Board of Trustees

From: Sam M. McCall, Chief Audit Officer *Smm*

Subject: Audit of Performance - Based Funding Metrics and Data Integrity Certification,
Report No. AR18-06

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 Metrics Data to the Board of Governors. The overall purpose of the audit was to:

- (1) Review University processes which ensure the completeness, accuracy, and timeliness of data submission to the Board of Governors, and
- (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 1, 2018.

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.

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
Rick Burnette
Kyle Clark
Sally McRorie



STATE
UNIVERSITY
SYSTEM
of FLORIDA
Board of Governors

Performance Based Funding

March 2018 Data Integrity Certification

Name of University: _____

INSTRUCTIONS: Please respond "Yes" or "No" for each representation below. Explain any "No" responses to ensure clarity of the representation you are making to the Board of Governors. Modify representations to reflect any noted audit findings.

Performance Based Funding Data Integrity Certification Representations			
Representations	Yes	No	Comment / Reference
1. I am responsible for establishing and maintaining, and have established and maintained, effective internal controls and monitoring over my university's collection and reporting of data submitted to the Board of Governors Office which will be used by the Board of Governors in Performance Based Funding decision-making.	<input type="checkbox"/>	<input type="checkbox"/>	
2. These internal controls and monitoring activities include, but are not limited to, reliable processes, controls, and procedures designed to ensure that data required in reports filed with my Board of Trustees and the Board of Governors are recorded, processed, summarized, and reported in a manner which ensures its accuracy and completeness.	<input type="checkbox"/>	<input type="checkbox"/>	
3. In accordance with Board of Governors Regulation 1.001(3)(f), my Board of Trustees has required that I maintain an effective information system to provide accurate, timely, and cost-effective information about the university, and shall require that all data and reporting requirements of the Board of Governors are met.	<input type="checkbox"/>	<input type="checkbox"/>	
4. In accordance with Board of Governors Regulation 3.007, my university shall provide accurate data to the Board of Governors Office.	<input type="checkbox"/>	<input type="checkbox"/>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Based Funding

Data Integrity Certification

Performance Based Funding Data Integrity Certification Representations			
Representations	Yes	No	Comment / Reference
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 Office.	<input type="checkbox"/>	<input type="checkbox"/>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	
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.	<input type="checkbox"/>	<input type="checkbox"/>	
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, "Ready to submit: Pressing Submit for Approval represents electronic certification of this data per Board of Governors Regulation 3.007."	<input type="checkbox"/>	<input type="checkbox"/>	
10. I am responsible for taking timely and appropriate preventive / corrective actions for deficiencies noted through reviews, audits, and investigations.	<input type="checkbox"/>	<input type="checkbox"/>	
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 University System Strategic Plan goals and have not been made for the purposes of artificially inflating performance metrics.	<input type="checkbox"/>	<input type="checkbox"/>	

Performance Based Funding Data Integrity Certification

Performance Based Funding Data Integrity Certification Representations		
Representations	Yes	No
<p>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.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Certification: _____ Date _____</p> <p style="margin-left: 40px;">President</p>		
<p>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.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Certification: _____ Date _____</p> <p style="margin-left: 40px;">Board of Trustees Chair</p>		

Audit Report



THE
FLORIDA STATE
UNIVERSITY

Office of Inspector General Services

Sam McCall, Ph.D., CPA, CGFM, CIA, CGAP, CIG
Chief Audit Officer

Performance-Based Funding Metrics Data Integrity Certification Audit Fiscal Year 2017-18

AR 18-06

February 7, 2018

Summary

Overall, we concluded that the University has adequate processes for collecting and reporting Performance-Based Funding (PBF) 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 1, 2018.

Scope, Objectives, and Methodology

In his June 30, 2017, memorandum to University Boards of Trustees' Chairs, 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 - Data Integrity Certification.

When completing this certification, you should evaluate each of the prepared representations. If you are able to affirm the representation, do so. If you are not able to make the representation as prepared, provide an explanation or modification in the space provided. It is important that representations be modified to reflect audit findings. The certification document shall be signed by the President and board of trustees Chair after being approved by the board of trustees. The completed Data Integrity Certification shall be submitted to the Office of Inspector General and Director of Compliance.¹

To make such certifications meaningful, university boards of trustees shall direct the 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. It is our intent that such audits include testing of data that supports

¹ This is a reference to the BOG's Office of Inspector General and Director of Compliance.

performance funding metrics. Such testing is essential to determining if processes are in place and working as intended.

The scope and objectives of the audit should be set jointly between the Chair of the university board of trustees and the university Chief Audit Executive. The audit shall 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 this audit shall be provided to the Board of Governors after being accepted by the university's board of trustees. The audit report shall include the university's corrective action plan designed to correct any audit findings. The audit results shall support the President's certification which shall include any noted audit findings. The completed Data Integrity Certification and audit report shall be submitted to the Office of Inspector General and Director of Compliance no later than March 1, 2018.

This is the fourth consecutive year the BOG has called for such an audit. 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 and filed with the BOG by March 1, 2018. This audit will include an evaluation of the key controls that support these processes, as well as testing of the actual data upon which the University's PBF Metrics are based.

The Performance-Based Funding 2017 Metrics (along with their definitions), as of March 14, 2017, were published on the BOG website. Subsequently, at its November 9, 2017 meeting the BOG made a decision to immediately discontinue its BOG Choice Metric 9b - Number of Faculty Awards, which had been used by Florida State University (FSU) and the University of Florida. This change resulted in all SUS members now having the same BOG Choice Metric 9a - Percent of Bachelor's Degrees without Excess Hours. The complete current listing of the 2017 PBF Metrics follows:

1. Percent of Bachelor's Graduates Enrolled or Employed (\$25,000+) in the U.S. One Year After Graduation
2. Median Wages of Bachelor's Graduates Employed Full-Time One Year After Graduation

3. Cost to the Student (Net Tuition and Fees per 120 Credit Hours)²
4. Six-Year Graduation Rate for First-Time-in-College Students
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 (including 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 (including STEM)
9. Percent of Bachelor's Degrees without Excess Hours (Board of Governors' Choice Metric for all SUS universities)
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).

This audit solely addresses the integrity of the University's data submissions to the BOG that support the University's Performance-Based Funding Metrics for the 2016-17 Annual Accountability Report. The BOG extracts data from the files provided it 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 2016-17 PBF audit conclusion concerning the Data Administrator's appointment and the duties and responsibilities in his official position description.

In our 2016-17 PBF audit we concluded 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 2016-17 PBF audit we concluded that:

² This Metric replaced the former Metric #3 -- Average Cost per Bachelor's Degree (Costs to the University) as a result of the November 3, 2016, BOG meeting.

...the processes used by the University Data Administrator and his staff in Institutional Research (IR) reasonably ensure the completeness, accuracy, and timely submission of data submitted to the BOG, including compliance with BOG criteria for the data.

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 2016-17 PBF audit 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.

4. Determine the current status since our conclusion in the 2016-17 PBF audit concerning system access controls and user privileges.

In our 2016-17 PBF audit we concluded that:

System access controls and user privileges for the University's Campus Solutions and BOG State University Database System (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 2016-17 PBF audit concerning audit testing of data accuracy.

In our 2016-17 PBF audit we concluded 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 2016-17 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 our 2016-17 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 2016-17 PBF audit concerning the University Data Administrator's data resubmissions to the BOG.

In our 2016-17 audit we determined that:

...resubmissions by the University have been very rare, are both necessary and authorized, and have had 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.

In our 2016-17 PBF audit we concluded that, overall:

...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 1, 2017.

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 and otherwise communicated 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 universities.

Beginning in fiscal year 2013-14, the BOG instituted a Performance-Based Funding Program based on 10 performance metrics used to evaluate the universities on a range of issues, including graduation rates, job placement, academic progress rate, etc. According to information published by the BOG in January 2017, 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 fourth 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 after being approved by the Board of Trustees. The audit and signed certification are both 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 upon approval by the Board of Trustees, by March 1, 2018

Objective #1: Determine if there were any changes since our 2016-17 PBF audit conclusion concerning the Data Administrator’s appointment and the duties and responsibilities in his official position description.

In our 2016-17 PBF audit we concluded 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.

Current Findings:

The University’s current Data Administrator continues to be Richard R. (Rick) Burnette III, Ph.D. (Dr. Burnette), who is Associate Vice President for Academic Affairs. Dr. Burnette assumed University Data Administrator responsibilities effective May 13, 2013, following the retirement of the prior University Data Administrator/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 July 1, 2016, which listed among his responsibilities “Maintains the role of the University Data Administrator in accordance with Board of Governors Regulation 3.007, which states that the Data Administrator will ensure that the data file (prior to submission) is consistent with the criteria established by the Board of Governors Data Committee.”

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 2016-17 PBF audit we concluded that:

...the processes used by the University Data Administrator and his staff in Institutional Research reasonably ensure the completeness, accuracy, and timely submission of data submitted to the BOG, including compliance with BOG criteria for the data.

Current Findings:

As we observed in our 2016-17 Performance-Based Funding Metrics Data Integrity Certification Audit, we continue to conclude the processes used by the University Data Administrator and his staff in IR reasonably ensure the completeness, accuracy, and timeliness 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 continues to be as follows:

- Student information necessary for reporting is captured in the University's 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 Oracle Business Intelligence Enterprise Edition (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, for testing.
- 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 BOG's online SUDS Data Dictionary and SUS Master File Documentation, or the Annual Data Administrators' Conference Proceedings.
- Corrected files are reloaded and the review process continues until all the errors have been cleaned up or explained.
- For each file, 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. Just prior to submission to the BOG, the Submission Summary is downloaded to Excel so that the FSU team can enter and retain their comments on errors that the BOG has defined as Level 9 (critical) errors, and for data

points where there were meaningful changes from one year to the next. The comments are recorded in the Excel spreadsheet and saved on IR's shared drive.

- Each file is then submitted to the BOG after all of the frequency explanations have been added by IR staff.

To ensure the timeliness of University file submissions to the BOG, IR's SharePoint team site tracks BOG requests. This site captures all incoming BOG requests, including the name of each request, type of request (i.e., routine or ad hoc), request date, due date, the primary University contact, and whether the contact has been notified. To test the timeliness of submissions 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 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. Student Instruction File (SIF) (Spring 2016 through Summer 2017 Terms);
2. Expenditure Analysis (EA) File (2012-13 through 2014-15) ³;
3. Hours to Degree (HTD) File (2015-16 through 2016-17);
4. Retention File (2011-12 through 2015-16);
5. Student Financial Aid (SFA) File (2012-13 through 2016-17); and
6. Student Instruction File Degrees Awarded (SIFD) (Spring 2016 through Summer 2017).

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.

File	Legacy—Reporting Period(s)	Campus Solutions—Reporting Period(s)
SIF		Spring 2016 through Summer 2017
EA ⁴	2012-13 through Summer 2013 ⁵	2013-14 through 2014-15
HTD		2015-16 through 2016-17
Retention	2011-12 through 2012-13	2013-14 through 2015-16
SFA	2012-13 through Summer 2013 ⁶	2013-14 through 2016-17
SIFD		Spring 2016 through Summer 2017

Since our previous audit report accepted by the Board of Trustees on February 22, 2017, six files were submitted to the BOG SUDS system. These six files are highlighted in the following table

³ The EA File was used in the analysis of Metric 3 for the prior three allocations. The HTD, SFA, and SIF Files are now used in the analysis of a new Metric 3, beginning with the data from the 2015-16 academic year.

⁴ This file is derived by the BOG based on the University's Operating Budget and Instruction and Research Data File submissions.

⁵ 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.

⁶ 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.

and all were submitted on time. Please note in the table the five most recent submissions of each of the five required files that relate to FSU's Performance-Based Funding metrics. There has been steady improvement in the timeliness of the University's data submissions from the previous audits, and timeliness of the University's data submissions to the BOG is not a present concern.

Most Recent Submission				
File	Term	SUDS Due Dates	Submission to BOG	Days Late
Student Instruction File	Summer 2017	09/29/2017	09/29/2017	N/A - On Time
Hours to Degree ⁷	Annual 2016	11/8/2017	11/8/2017	N/A - On Time
Retention File	Annual 2015	1/25/2017	1/25/2017	N/A - On Time
Student Financial Aid File	Annual 2016	10/9/2017	10/9/2017	N/A - On Time
Degrees Awarded File	Summer 2017	10/11/2017	10/5/2017	N/A - Early
Second Most Recent Submission				
File	Term	SUDS Due Dates	Submission to BOG	Days Late
Student Instruction File	Spring 2017	6/19/2017	6/19/2017	N/A - On Time
Hours to Degree ⁷	Annual 2015	10/18/2016	10/20/2016	2 days
Retention File	Annual 2014	1/29/2016	1/29/2016	N/A - On Time
Student Financial Aid File	Annual 2015	10/14/2016	10/14/2016	N/A - On Time
Degrees Awarded File	Spring 2017	6/29/2017	6/28/2017	N/A - Early
Third Most Recent Submission				
File	Term	SUDS Due Dates	Submission to BOG	Days Late
Student Instruction File	Fall 2016	1/23/2017	1/20/2017	N/A - Early
Expenditure Analysis ⁷	Annual 2014	10/20/2015	10/23/2015	3 days
Retention File	Annual 2013	1/21/2015	1/21/2015	N/A - On time
Student Financial Aid File	Annual 2014	10/5/2015	10/14/2015	9 days
Degrees Awarded File	Fall 2016	2/10/2017	2/1/2017	N/A - Early
Fourth Most Recent Submission				
File	Term	SUDS Due Dates	Submission to BOG	Days Late
Student Instruction File	Summer 2016	10/3/2016	10/3/2016	N/A - On Time
Expenditure Analysis ⁷	Annual 2013	10/28/2014	11/18/2014	21 days
Retention File	Annual 2012	1/22/2014	1/22/2014	N/A - On Time
Student Financial Aid File	Annual 2013	10/6/2014	11/3/2014	28 days
Degrees Awarded File	Summer 2016	10/10/2016	10/11/2016	N/A - BOG Issue
Fifth Most Recent Submission				
File	Term	SUDS Due Dates	Submission to BOG	Days Late
Student Instruction File	Spring 2016	6/17/2016	6/17/2016	N/A - On Time
Expenditure Analysis ⁷	Annual 2012	10/22/2013	10/22/2013	N/A - On Time
Retention File	Annual 2011	4/10/2013	4/8/2013	N/A - Early
Student Financial Aid File	Annual 2012	10/7/2013	10/15/2013	8 days
Degrees Awarded File	Spring 2016	6/30/2016	6/30/2016	N/A - On Time

In summary, the University Data Administrator described IR's creation of various SUDS tables from the University's Campus Solutions/PeopleSoft Student Information System in conformance with the BOG's requirements. We determined this method to be organized, planned, documented, and thorough. Additionally, there was sufficient evidence of practices to conclude that the University Data Administrator and his staff were reviewing and comparing SUDS edits, errors,

⁷ The EA File was used in the analysis of Metric 3 for the three prior PBF allocations. However, the HTD, SFA, and SIF Files are now used in the analysis of Metric 3, beginning with the data from the 2015-16 academic year.

and reports prior to submission of the files. We determined the processes followed by IR staff were adequate to ensure the completeness, accuracy, and timeliness of data submitted to the BOG, including compliance with BOG criteria for the data. Further, and the most definitive, evidence of the effectiveness of IR's processes to ensure the completeness and accuracy of the University's data submitted to the BOG, including criteria for the data, is presented in our positive conclusions pertaining to our Objective #5 concerning audit testing of PBF data accuracy and Objective #6 regarding the consistency of data submissions with the data definitions and guidance provided by the BOG.

Conclusion for Objective #2:

We concluded the processes used by the University Data Administrator and his staff in Institutional Research reasonably ensure the completeness, accuracy, and timely submission of data submitted to the BOG, including compliance with BOG criteria for the data.

Recommendations:

We have no recommendations for Objective #2.

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 PBF data submissions to the BOG.

In our 2016-17 PBF audit 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 PBF data submissions to the BOG.

Current Findings:

The Office of Institutional Research, the Office of Financial Aid (OFA), and Enterprise Resource Planning (ERP) 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 SUDS files submitted to the BOG pertaining to the University's PBF metrics. 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 PBF data submissions to the BOG.

Recommendations:

We have no recommendations for Objective #3.

Objective #4: Determine the current status since our conclusion in the 2016-17 PBF audit concerning system access controls and user privileges.

In our 2016-17 PBF audit we concluded 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.

Current 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. Based on our review of IR staff's security access to FSU systems, we concluded that 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 address for the State University Database System (SUDS) is a secure site and all communications are encrypted. This system was designed with redundant fail-over protections to assure against inappropriate access. FSU's Data Administrator, Dr. Burnette, and its Director of Institutional Research, Dr. James Hunt, are the University's designated security managers for the SUDS database access. Institutional Data Administrators receive their passwords from a BOG System Administrator. The **Data Administrator (DA)** role is the highest level assignable at the institution level and is assigned to only one individual at each institution. DAs, in turn, log into the system and have the authority to create users to process information for their universities. The DA role is authorized to process all data submissions to the BOG and includes the Submitter, Uploader, Validator, and Research roles.

Each user is assigned to a role and a set of authorized submissions, which defines the scope of that user's authority in the SUDS system. The **Submitter** role allows the user to "officially" submit university files to the BOG; this role includes the Uploader, Validator, and Research roles. The **Uploader** role allows the user to upload files for editing/review. The user can initiate and review all edits and reports of the files for a submission. The Uploader role includes the Validator and Researcher roles. The **Validator** role allows the user to review edit reports for submissions that

have already been uploaded and edited. This user is able to enter explanations and comments. The Validator role includes the Researcher role. The **Researcher** role is designed to be given to university researchers who want to do studies with system data and need access to the reporting view. The reporting view allows the researcher to identify students from within his/her own institution, follow them across the system, and do other kinds of system/school comparison research, without having to expose personally identifiable information regarding the students. Every time a user's access or password is modified, the security manager receives 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 2016-17 PBF audit concerning audit testing of data accuracy.

In our 2016-17 PBF audit we concluded 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 Enrolled or Employed (\$25,000+) 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. Net Tuition and Fees per 120 Credit Hours
4. Six Year Graduation Rate for First-Time-in-College Students
5. Academic Progress Rate (Second Year Retention Rate with GPA Above 2.0)
6. Bachelor's Degrees Awarded within Programs of Strategic Emphasis (including STEM)

7. University Access Rate (Percent of Undergraduates with Pell Grants)
8. Graduate Degrees Awarded within Programs of Strategic Emphasis (including STEM)
9. Percent of Bachelor's Degrees without Excess Hours

Institution-Specific Metrics for Florida State University:

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)

The State University System of Florida Board of Governors maintains a student unit record database titled the 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.

Current Findings:

Metric 1 - Percent of Bachelor's Graduates Enrolled or Employed (\$25,000 or More) in the U.S. One Year after Graduation. The calculation of this measure is to be done as follows, according to BOG definitions:

This metric is based on the percentage of a graduating class of bachelor's degree recipients who are enrolled or employed (earning at least \$25,000) somewhere in the United States. Students who do not have valid social security numbers and are not found enrolled are excluded. This data now includes non-Florida data from 41 states and districts, including the District of Columbia and Puerto Rico.

Sources: Accountability Report (Table 4O). State University Database System (SUDS), Florida Education and Training Placement Information Program (FETPIP) analysis of Wage Record Interchange System (WRIS2) and Federal Employment Data Exchange (FEDES), and National Student Clearinghouse (NSC).

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. This data does not include individuals who are self-employed, employed by the military, those without valid social security numbers, or those making less than minimum wage. This data now includes non-Florida data from 41 states and districts, including the District of Columbia and Puerto Rico.

Sources: Accountability Report (Table 4O). State University Database System (SUDS), Florida Education and Training Placement Information Program (FETPIP) analysis of Wage Record Interchange System (WRIS2) and Federal Employment Data Exchange (FEDES), and National Student Clearinghouse (NSC).

FSU provides the SIFD Degrees Awarded Table in the SIFD File submission. This file identifies those students who have been awarded degrees and, for each, when the degree was awarded.

The BOG uses information provided in the SIFD Degrees Awarded File and included in the SUDS database to identify the students who were awarded degrees during the prior year. The cohort to be reported on for 2017 Performance Based Funding includes those who graduated in the Summer 2015, Fall 2015, and Spring 2016 semesters. The BOG then uses demographic information from SUDS, along with external reporting sources, to determine these students' outcomes one year later.

Social security numbers are provided as part of the SIFD Degrees Awarded Table and are used to match employment data. First, middle, and last names and date of birth are the demographic information fields used to identify graduates who are continuing their education. These fields are not a part of the SIFD Degrees Awarded Table but are provided during different submissions to SUDS, primarily as part of original admissions records.

SIFD File Testing

An audit step in validating data for PBF Metrics 6 and 8 is determining whether SIFD Degrees Awarded data are complete and accurate. The SIFD Degrees Awarded Tables for Summer 2015, Fall 2015, and Spring 2016, which define the cohort for this year's Measures 1 and 2, were tested and validated as part of our prior year PBF audit in our testing of Metrics 6 and 8. As reported in Audit Report AR17-03, the data were accurate and complete.

Metric 3 - Net Tuition and Fees per 120 Credit Hours. Metric 3 is the Net Tuition and Fees per 120 Credit Hours for Resident Undergraduates. According to BOG definitions:

This metric is based on resident undergraduate student tuition and fees, books and supplies as calculated by the College Board (which serves as a proxy until a university work group makes an alternative recommendation), the average number of credit hours attempted by students who were admitted as first-time-in-college (FTIC) and graduated with bachelor's degrees for programs that require 120 credit hours, and financial aid (grants, scholarships and waivers) provided to students.

Source: Accountability Report (Table 1D) – which combines the Legislature's annual General Appropriations Act, university required fees, and several files (HTD, SFA, SIF) within SUDS.

Data for this metric are based on the Florida Board of Governors' (BOG's) analysis of three different files: Hours to Degree (HTD) File, Student Instruction File (SIF), and Student Financial Aid (SFA) File. The HTD File provides the BOG with the number of credit hours each student completed towards his/her first baccalaureate degree for a 120-hour program. The SIF File provides the BOG with information on the student's residency (i.e., must be a Florida resident) for tuition purposes, and any waivers the student received towards his/her tuition. The SFA File provides the BOG with information on any grants and/or scholarships that the student received.

Establishment of a Population of Students Who Were Awarded First Baccalaureate Degrees (Single Majors Only) During the Time Period under Review

The Hours to Degree (HTD) File contains information about students who are awarded first baccalaureate degrees with a single major within the academic year. For each student, this information is reported during the term his/her degree was awarded (Summer, Fall, or Spring). The course information for students reported on the file includes all post-secondary course work and their course work taken in high school and accepted as post-secondary credit after high school. To build the HTD File, IR sends a listing of students who were awarded their first baccalaureate degrees (single major only) during the reporting period (HTD population file) to staff within the University's Enterprise Resource Planning (ERP). (For purposes of this audit, the time period is Academic Year 2016-17 (Summer 2016, Fall 2016, Spring 2017).) ERP staff uses this listing to build the HTD Table and the Courses Taken Table for the HTD File submission to the BOG. From an IR business analyst, we obtained the HTD Table that was submitted to the BOG, for our time period.

Comparison of IR HTD Population File to the University's Campus Solutions System Records (Source Records) Based on Employee Identification (EMPLID). We compared the EMPLID, Classification of Instructional Programs (CIP) code, and completed term records in the HTD Table submitted to the BOG (6,928 records) to the EMPLID, CIP code, and completed term records in our query results of degrees awarded during the Summer 2016, Fall 2016, and Spring 2017 terms (7,067 records), from the University's source Campus Solutions system. We determined that all of the 6,928 EMPLID, CIP code, and completed term records (100 percent) in the HTD Table matched such records in our Campus Solutions query results. For the Campus Solutions EMPLID records that indicated a baccalaureate degree was awarded in one of the three identified semesters, 139 were *not* found on the HTD Table submitted to the BOG. We reviewed information in Campus Solutions to determine whether they should have been included. Of these 139 student EMPLID numbers, 125 were correctly *not* included in the HTD Table because the students were awarded baccalaureate degrees with two majors or a baccalaureate degree and master's degree in the same term—thus not meeting the criterion for the reporting of single first baccalaureate degrees. The remaining 14 students' degrees were awarded retroactively (late degree posted more than one semester after the awarded term) and, as such, were not included in the corresponding SIFD Files for Summer 2016, Fall 2016, or Spring 2017. Because the SIFD Files are the source for records reported in the HTD Table, these 14 late degree records were not included on the HTD Table. This is considered immaterial to the total amount of EMPLIDs included in the HTD Table and does not affect FSU's performance on the metric. Thus, IR's HTD Table reconciled to the University's Campus Solutions records, within an immaterial amount, in terms of validation of the students included in the HTD Table. Based on this analysis, we have assurance that the HTD Table submitted to the BOG is complete and correctly includes the population of students who were awarded first baccalaureate degrees (single majors only) during the time period under review.

Testing of Students Included in the HTD Table Submitted to the BOG to Determine the Accuracy of Data Elements Used for Metric 3

Having established that our population in the HTD Table submitted to the BOG was correct, we then tested the accuracy of the following data elements used for Metric 3: 1) term in which the student completed his/her degree, 2) course identification, 3) credit hours each student completed towards his/her first baccalaureate degree for a 120-hour program, 4) residency status (should be resident, for tuition purposes), 5) fee waivers, and 6) scholarships and/or grants awarded. For all of these six data elements, we took a random sample of 100 students from the HTD Table population.

Term in Which the Student Completed His/Her Degree. We confirmed that each of the 100 students in our sample received his/her baccalaureate degree in the term identified on the HTD Table (part of the HTD File submission to the BOG), and that this was the student's first baccalaureate degree (single major), based on our review of his/her Campus Solutions source documentation. We noted no exceptions.

Course Identification. According to the BOG Overview of Methodology and Procedures for this metric, certain courses are excluded from the cost to the student calculation. These courses include courses taken by active duty military, dual enrollment courses, exam credit courses, graduate rollover courses, life experience courses, military courses, and courses where the student withdrew due to a personal hardship. We determined that the majority of these excluded courses were correctly identified in the Courses to Degree Table, based on our review of Campus Solutions source documentation. However, we did have one student who had dual enrollment courses consisting of 39 credit hours that were not marked as dual enrollment in the HTD File, which was due to a timing issue with the reporting. These 39 credit hours (out of the total 14,241 credit hours in the sample of 100 students) are considered immaterial to the calculation of Metric 3.

Credit Hours Each Student Completed Towards His/Her First Baccalaureate Degree for a 120-Hour Program. We reviewed information on the Courses to Degree Table (part of the HTD File submission to the BOG) and noted that the column titled "Credit Hour Usage Indicator" identified whether or not a course was used towards the student's degree. There are various reasons why a course may not be used towards a degree. Some examples are if the student fails or withdraws from the class, if he/she repeats the class, or if the class is a remedial class. We reviewed our sample of 100 students and determined that none of the courses that were marked "D," meaning the course counted towards the student's degree, had non-passing grades, were remedial courses, or had an "R" listed under the Repeated Indicator column. Thus, for all of the 100 students in our sample, we determined their courses classified as "D" were in accordance with instructions provided in the BOG's SUDS Data Dictionary. No exceptions were noted.

We also performed an analysis for any course numbers in our sample that were marked "D" more than once per student. In some cases, this is permissible. Generally, according to undergraduate academic regulations and procedures, students are not allowed additional credit for courses repeated in which the students originally made grades of a "C-" or better, except for courses specifically designated as repeatable to allow for additional credit. Repeatable courses may be

taken to a maximum number of times or hours, as spelled out in the course descriptions. We noted no courses that were marked “D” more than once per student in error.

We also compared the total amount of native credit hours and non-native credit hours to source documentation in Campus Solutions. Native credit hours are all credit hours attempted at Florida State University. Non-native credit hours are hours transferred from other universities and colleges. We noted no exceptions. We made a similar comparison, for all 100 students in our sample, of the total amount of credit hours, both native and non-native, that were marked “D” in the Credit Hour Usage Indicator column, and found agreement in the data FSU submitted to the BOG and FSU source data. We concluded that the sum of these hours met the minimum number of hours for each student’s degree for this Metric 3 (i.e., 120 hours).

Residency Status. The HTD Table submitted to the BOG included 6,928 students, and we determined that 6,460 of these (93 percent) were considered resident students, for tuition purposes. For our sample of 100 students, we concluded that all had the correct residency classification (i.e., resident for tuition purposes), which information we obtained from the SIF Enrollment Table (part of the SIF File submission), based on our review of Campus Solutions source documentation. We noted no exceptions.

Fee Waivers. For the 100 students in our sample, we compared the amount of fee waivers awarded to them and reported on the Fee Waivers Table submitted to the BOG (part of the SIF File submission for the period of Summer 2016, Fall 2016, and Spring 2017), to their Campus Solutions source documentation. One of the 100 sampled students did not have the correct amounts of fee waivers reported in the Fee Waivers Table. This student received department billing waivers during the Summer 2016 term, but the waivers were not included in the Table due to the addition of new accounting codes for billing waivers, which were not recognized for fee waiver reporting purposes. This was noted during our prior audit, but the Summer 2016 Fee Waivers Table had already been submitted. Student Business Services staff conducted further analysis and noted additional fee waivers that were underreported due to new accounting codes that were added but were not considered for fee waiver reporting. Student Business Services has developed a new reporting structure to ensure all new accounting codes are captured for reporting. These changes were implemented beginning with the Fall 2016 SIF File. Collectively, the amount of fee waivers underreported is immaterial to the total dollar amount of the fee waivers and to the calculation of Metric 3.

Scholarships and/or Grants Awarded. Finally, for the students in our sample of 100, we compared the amounts of scholarships and grants awarded to them and reported on the Financial Aid Awards Table (part of the 2016-17 SFA File submission to the BOG), to the Campus Solutions source documentation. For our sample of 100 students, we concluded that all had the correct amounts of financial aid reported based on our review of Campus Solutions source documentation. We noted no exceptions.

Based on our testing, the University’s data submitted to the BOG for the Metric 3 Performance-Based Funding metric were materially complete and accurate, and in accordance with BOG guidance. For those minor exceptions noted above, we provided the details of such findings to the Data Administrator for his follow-up actions.

Metric 4 – Six Year Graduation Rate for First-Time-in-College (FTIC), Full- and Part-Time Students. 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. Source: Accountability Report (Table 4D)

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: Accountability Report (Table 4B).

Given the repeated assurance from our previous testing of Metrics 4 and 5, the considerable staffing effort applied to these two metrics in our three prior PBF audits, our continued review of the University's internal controls as a whole over data pertaining to the University's PBF metrics, and also considering the negligible risk based on the shared judgment of OIGS and Institutional Research staff concerning Metrics 4 and 5, we did not conduct testing of these two measures for this current PBF audit.

Metric 6 - Bachelor's Degrees 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: Accountability Report (Table 4H).

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 Metric 6 is to promote the alignment of the SUS degree program offerings with the economic development and workforce needs of the state. 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.

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 2016 (2,525 records), Fall 2016 (2,772 records), and Spring 2017 (7,184 records) terms, for a total of 12,481 records.

To determine the validity of the 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 academic year 2016-17. We then used Microsoft Excel and TeamMate Analytics to reconcile the SIFD File data from OBIEE, which is sent to the BOG, to the degrees awarded data from the University's Campus Solutions system, to determine if the data submitted to the BOG were complete and valid.

Of the 12,481 degrees awarded records submitted to the BOG for Summer 2016, Fall 2016, and Spring 2017, all 12,481 degrees awarded records based on the student identification numbers were readily reconcilable to our query results using Campus Solutions source data.

Classification of Instructional Programs (CIP) Testing

The Board of Governors maintains an inventory of State University System Academic Degree Programs, which identifies approved degree programs for each university within the SUS. The programs are listed based on the Classification of Instructional Programs (CIP) taxonomy.

We added CIP code data to the degrees awarded query in the University's Campus Solutions System and used this data as source data to validate individual degrees awarded in submissions to the BOG. We did not identify differences between the two files and concluded that records in the SIFD data were consistent with codes in effect at the time of submission. As we validated individually awarded degrees in the SIFD data, we can conclude that the CIP codes in programs of strategic emphasis included in the SIFD data were accurate.

Undergraduate Degrees Awarded Testing

To validate the level of degree reported to the BOG, we disaggregated undergraduate degrees from graduate degrees included in the SIFD files and our Campus Solutions system query and compared the two listings. We determined that all degrees at the undergraduate award level in the SIFD File submissions were accurately reported and that all degrees at the undergraduate award level in Campus Solutions had been included in the SIFD File submission.

Based on the results of our analysis of the University's SIFD File submissions for Summer 2016, Fall 2016, and Spring 2017, we determined the data elements provided by the University for use in calculating Metric 6 to be complete and accurate and in accordance with BOG guidance. We found no significant differences between degrees awarded data submitted by the University to the BOG and source data in the University's system of record. We concluded that the data provided to the BOG to be used in calculating the percentage of undergraduate degrees in programs of strategic emphasis 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 a Pell-grant during the fall term. Unclassified students, who are not eligible for Pell-grants, were excluded from this metric.

Source: Accountability Report (Table 3E).

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 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 only 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 State University System of Florida institutions use the preliminary Student Instruction File (SIFP) 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 and post-baccalaureate students who are coded as upper-division undergraduates are removed from the denominator because they are not eligible for Pell grants. In addition, non-resident aliens are excluded from both the numerator and denominator for this metric because only a limited number of these students are eligible to receive Pell grants and SUDS does not collect information that would allow Board staff to determine the Pell eligibility for non-resident aliens.

To validate the University's processes for submitting the data that underlie this measure, we reviewed the 2016 Fall SIF File and the 2016-17 SFA File.

SIF File Testing

Metric 7 uses specific fields in the SIF File to identify students meeting the criteria to be included in the Fall term undergraduate cohort.

We were provided a copy of the University's Fall 2016 SIF File that was submitted by IR staff to the BOG. The file contained a total of 41,824 uniquely identified student records. We filtered this data to identify undergraduates who met the criteria used by the BOG when calculating Metric 7. There were 32,625 records corresponding to undergraduate students enrolled in the Fall 2016 semester who were *not* unclassified, second-bachelor's degree or non-resident alien 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 File—excluding students who are not eligible for Pell grants).

We developed a query in Campus Solutions to identify undergraduate students enrolled during the Fall 2016 semester and used the results to validate the SIF Fall enrollment file submitted to the BOG by IR. We were able to determine that the SIF 2016 Fall enrollment file was accurate and complete.

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.

We were provided a copy of the 2016-17 SFA File that was 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 147,146 records. We filtered this data to identify Pell awards made in the Fall 2016 semester, which is the criterion for inclusion in the numerator of Metric 7. There were 8,892 awards meeting this criterion.

We developed a query in Campus Solutions to identify all students who received Pell grants during the Fall 2016 semester and used the results to validate the 2016-17 SFA File that was submitted to the BOG by IR. We determined that awards reported in the 2016-17 SFA File were materially correct.

Based on the SFA File provided to the BOG, we determined that 8,869 of the 32,625 undergraduates, excluding unclassified students, identified in the Fall 2016 SIF File (27 percent), had Pell Grant records in the SFA File during the 2016-17 period.⁸

We concluded that, based on our testing, the University's data submitted to the BOG for Performance-Based Funding Metric 7 met the criteria for inclusion in the measure.

Metric 8 - Graduate Degrees 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: Accountability Report (Table 5C).

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 Metric 8 is to promote the alignment of the SUS degree program offerings with the economic development and workforce needs of the state. 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 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.

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 2016 (2,525 records), Fall 2016 (2,772 records), and Spring 2017 (7,184) terms, for a total of 12,481 records.

To determine the validity of the 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 academic year 2016-17. We then used Microsoft Excel and TeamMate Analytics

⁸ The 2016-17 SFA File had 8,892 undergraduates receiving Pell Grants, yet only 8,869 of these individuals were in the Fall 2016 SIF File. We researched the 23 exceptions and found satisfactory explanations (e.g., withdrawals) for all but 3 of them.

to reconcile the SIFD File data from OBIEE, which is sent to the BOG, 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 12,481 degrees awarded records submitted to the BOG for Summer 2016, Fall 2016, and Spring 2017, all 12,481 degrees awarded records based on the student identification numbers were readily reconcilable to our query results using Campus Solutions source data.

Classification of Instructional Programs (CIP) Testing

The Board of Governors maintains an inventory of State University System Academic Degree Programs, which identifies approved degree programs for each university within the State University System. The programs are listed based on the Classification of Instructional Programs (CIP) taxonomy.

We added CIP code data to the degrees awarded query in Campus Solutions and used this data as source data to validate individual degrees awarded in the submissions to the BOG. While we identified a difference between the two files, we determined that the difference was primarily due to a change in one CIP code that was approved by the BOG subsequent to the date the University submitted its SIFD data. The BOG changed the CIP code for the identified program in order to align it with the code being used by other institutions in the SUS. As we validated individually awarded degrees in the SIFD data, we can conclude that the CIP codes in programs of strategic emphasis included in the SIFD data were accurate.

Graduate Degrees Awarded Testing

To validate the level of degree reported to the BOG we disaggregated graduate degrees from undergraduate degrees included in the SIFD Files and the Campus Solutions system's query results, and compared the two listings. We determined that all degrees at the graduate award level in the SIFD submissions were accurately reported and that all degrees at the graduate award level in Campus Solutions had been included in the SIFD File submission.

Based on the results of our analysis of the University's SIFD File submissions for Summer 2016, Fall 2016, and Spring 2017, we determined the data elements provided by the University for use in calculating Metric 8 to be complete and accurate, and in accordance with BOG guidance. We found no significant differences between data submitted by the University to the BOG and source data in the University's system of record. We concluded that the data provided to the BOG to be used in calculating the percentage of graduate degrees in programs of strategic emphasis are materially correct and can be relied upon.

Metric 9a – Percent of Bachelor's Degrees without Excess Hours.

Originally, the University's Metric 9 was Metric 9b. Number of Faculty Awards. During the November 2017 Board of Governors meeting, the Board approved a recommendation to move Florida State University, along with the University of Florida and New College of Florida, to

Metric 9a. Percent of Bachelor's Degrees without Excess Hours, for Metric 9. All of the other SUS members had been using Metric 9a pertaining to excess hours.

This Metric 9a is based on the percentage of baccalaureate degrees awarded within 110 percent of the credit hours required for a degree based on the Board of Governors Academic Program Inventory. Metric 9a data are based on the latest statutory requirements that mandate 110 percent of required hours as the threshold. In accordance with statute, this metric excludes the following types of student credits: 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; and credit hours earned in military science courses that are part of the Reserve Officers' Training Corps (ROTC) program. Data for this metric come from each SUS member's Hours to Degree (HTD) File submitted to the Florida Board of Governors, which file is also used for Metric 3. The BOG calculates excess hours for each student based on the data submitted by the SUS entities. The purpose of our testing was to ensure the data in FSU's HTD File submitted to the BOG for its calculations agreed with source data in the University's Campus Solutions system.

Testing of Students Included in the HTD Table Submitted to the BOG to Determine the Accuracy of Data Elements Used for Metric 9a

Having established that our population in the HTD Table submitted to the BOG was correct in our testing of Metric 3, we then tested the accuracy of the following data elements used for Metric 9a: 1) term in which the student completed his/her degree, 2) course identification, 3) credit hours each student completed towards his/her first baccalaureate degree, and 4) total catalog hours for the student's degree program category. Since some of the data elements we tested for Metric 9a overlapped with our testing for Metric 3, we used our initial sample of 100 students for that metric to test additional data elements for Metric 9a. Because the Metric 3 population of students only consisted of students who were resident undergraduates in degree programs of 120 hours (5,980 students), we took a random sample of 16 additional students from the remaining HTD Table population (948 students) that were not part of the Metric 3 population. Therefore, we tested a total of 116 students for Metric 9a.

Term in Which the Student Completed His/Her Degree. Having concluded that the 100 students in our Metric 3 testing each had the correct reporting of the degree awarded, we then confirmed that each of the additional 16 students in our sample received his/her baccalaureate degree in the term identified on the HTD Table (part of the HTD File submission to the BOG). We also confirmed that this was the student's first baccalaureate degree (single major), based on our review of his/her Campus Solutions source documentation. We noted no exceptions.

Course Identification. According to the BOG Overview of Methodology and Procedures for this Metric 9a, certain courses are excluded from the excess hours calculation. These courses include: courses taken by active duty military, dual enrollment courses, exam credit courses, foreign language courses, graduate rollover courses, internships, life experience courses, military courses, courses where the student withdrew due to a personal hardship, and remedial courses. We determined that these excluded courses were correctly identified in the Courses to Degree Table

for all 116 students in both our Metric 3 and Metric 9a samples, based on our review of Campus Solutions source documentation, with the exception of the dual enrollment courses for the one student that was identified in our testing of Metric 3. However, that exception would not have affected the calculation of Metric 9a, as the student did not have excess hours, with or without the correct classification of dual enrollment courses.

Credit Hours Each Student Completed Towards His/Her First Baccalaureate Degree. Since we established that the 100 students in our Metric 3 testing had the correct reporting of the credit hours completed towards their first baccalaureate degrees, we then confirmed that each of the additional 16 students in our sample were also correctly reported in the Courses to Degree Table (part of the HTD File submission to the BOG). We determined that, similarly for each of these 16 students, none of the courses that were marked “D,” (i.e., counted towards the student’s degree), had non-passing grades, were remedial courses, or had an “R” listed under the Repeated Indicator column. Thus, for all of the 16 additional students, we determined their courses classified as “D” were in accordance with instructions provided in the BOG’s SUDS Data Dictionary. We noted no exceptions.

We also performed an analysis to identify, for our sample of 16 additional students, any course numbers that were marked “D” more than once per student. Generally, according to undergraduate academic regulations and procedures, students are not allowed additional credit for courses repeated in which the students originally made grades of a “C-” or better, except for courses specifically designated as repeatable to allow for additional credit. Repeatable courses may be taken to a maximum number of times or hours, as spelled out in the course descriptions. We noted no courses marked “D” more than once that did not meet the criteria for exception.

Additionally, we compared the total amount of native credit hours and non-native credit hours to source documentation in Campus Solutions, for agreement. Native credit hours are all credit hours attempted at Florida State University. Non-native credit hours are hours transferred from other universities and colleges. We made a similar comparison, for each of the 16 additional students, of the total amount of credit hours, both native and non-native, that were marked “D” in the Credit Hour Usage Indicator column of the Courses to Degree Table, and found agreement in the data FSU submitted to the BOG and FSU source data. We concluded that the sum of these hours met the minimum number of hours for each student’s degree (ranging from 120 to 132).

Total Catalog Hours for Each Student’s Degree Program Category. The BOG maintains the official State University System Academic Degree Program Inventory, which identifies all approved degree programs for each university within the SUS. The programs are listed based on the Classification of Instructional Programs (CIP) taxonomy that the U.S. Department of Education maintains. Universities may have multiple “majors” at the same degree level under one CIP code and they may have degree programs at different levels within the same CIP. For our sample of 116 students, we reviewed the total program hours for each CIP code listed in the HTD File and compared it to the BOG’s program inventory. We noted none of the CIP codes had total program hours that exceeded the BOG’s approved maximum hours for the CIP codes.

Based on our testing, the University’s data submitted to the BOG for the Performance-Based Funding Metric 9a were materially complete and accurate, and in accordance with BOG guidance.

For the one minor exception noted above, we provided the details of our findings to the Data Administrator for his follow-up actions.

Metric 10c - National Rank Higher than Predicted by the Financial Resources Ranking Based on U.S. News and World Report. Metric 10c 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 10c is now the University's sole institution-specific choice measure and this metric is the FSU Board of Trustees' Choice Metric. According to the March 1, 2017 BOG definitions, Metric 10c 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 10c), for the last six years.

Magazine Edition	Survey Year	Fall Statistics for:	Financial Resources Rank	National Universities Rank	Metric 10 Value
2013	2012	2011	212	97	115
2014	2013	2012	211	91	120
2015	2014	2013	214	95	119
2016	2015	2014	210	96	114
2017	2016	2015	212	92	120
2018	2017	2016	211	81	130

The U.S. News 2018 edition (publication year) shows the University's Financial Resources Rank as 211. When the National Universities Rank of 81 is subtracted from that number, the difference of 130 is significant. This difference, which is the Metric 10c 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 130-point difference between the University's Financial Resources Rank of 211 and the National Universities Rank of 81 for 2018 places the University in the 99th percentile. This is 72 points above the 90th percentile and 104 points above the 75th percentile. The Metric 10c values shown above for the last six years show stability, which should remain as long as efficiency data continue to be reported.

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 scale score, which is made up of several categorical rankings.

The following table shows U.S. News Efficiency Rankings for Florida State University for the last five years.

U.S. News Reporting Year	Fiscal Year Fall Statistics for:	U.S. News National Universities Rank	U.S. News Overall Scale Score	U.S. News Financial Resources Rank	U.S. News Expenditures per Student	Spending per Student for Each Point in the U.S. News Overall Scale Score	National Rank for Efficiency
2014	2012	91	50	211	\$17,748	\$355.32	1 st
2015	2013	95	47	214	\$18,113	\$392.77	2 nd
2016	2014	96	45	210	\$19,429	\$431.76	2 nd
2017	2015	92	50	212	\$20,575	\$411.50	2 nd
2018	2016	81	54	211	\$21,070	\$390.19	2 nd

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, 2nd, 2nd and 2nd nationally for 2014, 2015, 2016, 2017, and 2018, respectively.

The purpose of the above table is to show that, as currently calculated, U.S. News views the University as very efficient. U.S. News has not published spending per student for each point in the overall scale score for the last three years. Spending shown above for 2017-2018 was provided by the University Data Administrator via screen capture from the U.S. News database. There is evidence, based upon the above two tables, that the University continues to be among the most efficient in the nation.

In summary for Metric 10c, 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 2018 Metric 10c (National Rank Higher than Predicted by the Financial Resources Ranking Based on U.S. News and World Report) value is 130, which will be reported by the University and subsequently by the BOG in its 2016-17 System Accountability Report.

Conclusion for Objective #5:

Based on our continued review of the University's internal controls as a whole over data pertaining to the University's PBF metrics and our data accuracy testing for the 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.

Objective #6: Determine the current status since our conclusion in the 2016-17 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 2016-17 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.

Current Findings:

The University Data Administrator certifies each data submission into the BOG SUDS data system through a mechanism deployed by BOG staff on January 15, 2015. The BOG Information Resource Management 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 BOG's SUDS Data Dictionary. The University Data Administrator demonstrated that sufficient personnel have been consistently attending the Annual Data Administrators' Workshops. Additionally, FSU's data administrator was instrumental in forming the Council of Data Administrators (CODA) to review and standardize reporting among SUS institutions. This group works with BOG staff when any institution forwards questions about interpretation of BOG policies. The FSU Office of Institutional Research has completed 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, via the CODA listserv or with IR directors at other SUS institutions.

The University Data Administrator has previously 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. He has indicated that process still continues and that he has been instrumental in coordinating the Council of Data Administrators (CODA) to meet this need. FSU's University Data Administrator has also 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 due to FSU, 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, other than a resubmission of the 2016-17 Student Financial Aid File, which was due to a late change in reporting requested by the BOG to add third-party payments to the file, which had not been done before. The resubmission was made in a timely manner, prior to the BOG's need for the data for its PBF metrics calculations.

Recommendations:

We have no recommendations for this Objective #6.

Objective #7: Determine the current status since our conclusion in the 2016-17 PBF audit concerning the University Data Administrator's data resubmissions to the BOG.

In our 2016-17 audit 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.

Current Findings:

According to the University Data Administrator, 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. Near the end of 2015, the BOG began requiring that a SUDS Data Resubmission Form be completed and submitted to the BOG for every resubmission, unless the resubmission was required for changes initiated because of agreed-upon system-wide criteria changes, or BOG programmatic changes. This form details the reason for the resubmission, indicates whether the resubmission impacts Performance-Based Funding metrics, and is signed by the University Data Administrator.

From the BOG's SUDS system, we searched for files with due dates between July 1, 2016 and June 30, 2017, and found that the University submitted 26 files to the BOG and resubmitted only one of these files. The resubmitted file was the Annual 2015 Expenditure Analysis File. Upon loading the file to the University's data warehouse, the BOG requested FSU's IR to review the person year calculation. This resubmission did not affect the University's Performance-Based Funding metrics under audit this year, as the sole metric requiring the Expenditure Analysis File in the past has been replaced with one that does not rely on this file. 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 15 files from July 1, 2017 through November 17, 2017, and again only one of these files resulted in a resubmission. This resubmitted file was the 2016-17 Student Financial Aid File. The resubmission was due to a late change in reporting requested by the BOG to add third-party payments to the file, which had not been done before. The resubmission was made in a timely manner, prior to the BOG's need for the data for its PBF metrics calculations.

Conclusion for Objective #7:

We determined that resubmissions by the University have been very rare, are both necessary and authorized, and have had no FSU-generated effect on the University's Performance-Based Funding metrics (i.e., BOG called for a change in reporting).

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.

Current 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 1, 2018.

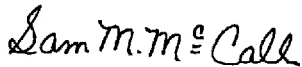
Recommendations:

We have no recommendations for this Objective #8.

Acknowledgements

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, and Dr. James Hunt, Director of Institutional Research.

Respectfully submitted,



Sam M. McCall, Ph.D., CPA, CGFM, CIA, CGAP, CIG
Chief Audit Officer

President's Response

I would like to thank the staff of the Office of Inspector General Services for their hard work on this audit. I am very pleased that no issues requiring corrective action were identified in this audit, and I am comfortable that Chairman Burr and I can rely on these results and sign the Data Integrity Certification without reservation.

John Thrasher, President

Audit conducted by:	Kitty Aggelis, CIA, CGAP, CRMA, CIG Jeffrey Caines, CIA, CGAP, CFE Janice Foley, MBA, CPA, CISA, CFE, CRMA, CIG Heather Harrell, CPA Carolyn Williams-Lawyer, CISA, CIGA Sam M. McCall, Ph.D., CPA, CGFM, CIA, CGAP, CIG
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Audit reviewed by:	Kitty Aggelis Jeffrey Caines Janice Foley
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Definitions for Acronyms

BOG	Board of Governors
CIP	Classification of Instructional Programs
EA	Expenditure Analysis
EMPLID	Employee Identification
ERP	Enterprise Resource Planning
FEDES	Federal Unemployment Data Exchange
FETPIP	Florida Education and Training Placement Information Program
FSU	Florida State University
FTIC	First Time in College
GPA	Grade Point Average
HTD	Hours to Degree
IPEDS	Integrated Postsecondary Education Data Systems
IR	Institutional Research
OBIEE	Oracle Business Intelligence Enterprise Edition
OFA	Office of Financial Aid
PBF	Performance-Based Funding
SFA	Student Financial Aid
SIF	Student Instruction File
SIFD	Student Instruction File Data
SIFP	Student Instruction File Preliminary
STEM	Science, Technology, Engineering, and Mathematics
SUDS	State University Database System
SUS	State University System
UI	Unemployment Insurance
USDOE	U.S. Department of Education
WRIS2	Wage Record Interchange System