



**USF Board of Trustees
Governance Committee**

August 27, 2018
Traditions Hall

Trustees: Jordan Zimmerman, Chair, Stephanie Goforth, Brian Lamb, Hal Mullis,
John Ramil, Nancy Watkins
Staff Liaisons: Cindy Visot, Gerard Solis

A G E N D A

- I. Call to Order and Comments** Chair Jordan Zimmerman
Public Comments Subject to USF Procedures
- II. New Business – Action Item**
- FL 101** – Approval of [February 13, 2018 Minutes](#) Chair Zimmerman
- FL 102** – Approval of [President’s 2018-19 Goals](#) Chair Zimmerman
- FL 103** – Approval of [DSO Regulation Changes](#) Hilary Black, Esq.
- III. New Business – Information Item**
- A. [Data Submission to External Entities Policy](#)** Dr. Valeria Garcia
- IV. Adjournment** Chair Zimmerman

**Board of Trustees Governance Committee
February 13, 2018
Draft Meeting Notes**

Meeting called to order February 13, 2018 at 9:47AM.

Roll call by Corporate Secretary

Members present: Stephanie Goforth, Hal Mullis, Brian Lamb, John Ramil (by phone), Nancy Watkins, Jordan Zimmerman

Committee Chair Zimmerman welcomed the committee members and other trustees attending, and welcomed Trustee Goforth as the committee's new member. Board Chair Lamb and Committee Chair Zimmerman welcomed the three new trustees to the Board: Oscar Horton, Les Muma and Charlie Tokarz.

Committee Chair Zimmerman informed the committee there were no requests for public comment.

New Business – Action Items

FL 101 – Approval of 11/2/2017 and 1/19/2018 minutes

Committee Chair Zimmerman introduced the item and asked for a motion.

Motion made by Trustee Goforth and seconded by Board Chair Lamb; no discussion occurred and approved by all committee members present.

FL 102 – Approval of President's 2018–2019 Contract

Committee Chair Zimmerman introduced the item and explained how the process of approving the President's contract works for the new trustees. He noted that once the committee approves the contract it then moves to the Board of Trustees and then the Florida Board of Governors for final approval. He then reviewed the President's current salary: annual compensation of \$505,837 with a potential performance stipend of \$300,000. He then explained that the Governance Committee is responsible for awarding 70% of the performance stipend and the Board Chair is responsible for the remaining 30%. In addition the President receives deferred compensation of 20% of her base salary, totaling \$101,174 using non-state funds.

Committee Chair Zimmerman informed the committee that, similar to years past, the President is not requesting any increase in her compensation so he recommended the committee keep the same terms from the President's 2017–2018 contract for the 2018–2019 contract. A discussion took place regarding why the BOT does one-year contracts instead of five-year contracts: Chair Zimmerman explained that the Florida Board of Governors expect one-year contracts for presidents who have completed their first term and that the Board of Governors ratifies State University System presidents' contracts. BOT Chair Lamb commented that SUS institutions are permitted to offer multiyear contracts for new presidential appointments.

A discussion took place as to how President Genshaft's compensation compares to the other SUS institutions, especially the ones who have reached Preeminence. Trustee Watkins commented she wants to ensure a fair and competitive compensation package for both President Genshaft and whoever her successor may be. Committee Chair Zimmerman presented to the committee the salaries of the University of Florida and Florida State University presidents.

A motion was made by Committee Chair Zimmerman to recommend to the BOT that the current one-year employment agreement (July 1, 2017 to June 30, 2018) for President Genshaft be extended for one full year, creating an employment agreement which would cover the period of July 1, 2018 through June 30, 2019. Trustee Mullis seconded the motion and it was unanimously approved.

FL 103a – Approval of DSO Regulations

Committee Chair Zimmerman began by informing the new trustees on the background of the Direct Support Organization regulations: in August 2017 the committee heard the presented changes as an information item and are intended to allow for good governance on the part of the BOT. BOT Chair Lamb commented that both the committee and the full Board have had many conversations regarding DSOs and proper governance of them. Chair Zimmerman then introduced General Counsel Gerard Solis to take the committee through the proposed changes.

General Counsel Solis outlined the three changes to the DSO regulations. The first of which would require the BOT Chair to appoint a non-trustee representative to the board of directors and executive committee, as applicable, of each DSO as a way of keeping operations in the line of sight of the BOT. Second, each DSO would be required to adopt a number of policies, all of which are the norm for public organizations. Third, DSOs will be prohibited from giving to political action committees; General Counsel pointed out that no DSO has ever made such a donation. Lastly, DSOs would be prohibited from using state funds for DSO travel expenses, which again is not something USF DSOs have done in the past.

A motion was made by Committee Chair Zimmerman and seconded by Trustee Mullis with unanimous approval from the committee.

FL 103b – Approval of BOT Operating Procedures

Committee Chair Zimmerman turned the conversation to the BOT operating procedures and allowed General Counsel Solis to present the proposed changes. General Counsel began by explaining that the proposed changes are to keep the operating procedures in line with the changes to DSO regulations.

General Counsel Solis presented the first change which informs the BOT Chair of his/her responsibility to appoint at least one representative to the boards of each DSO. The second change permits trustees to serve on advisory committees subject to disclosure to the Board Chair, but trustees may not be on the board of a DSO. General Counsel explained that this policy is in place because the BOT serves in an oversight and governance function. General Counsel went on to explain that advisory committee memberships are still subject to the conflict of interest provisions of the Operating Procedures.

A discussion took place regarding whether or not trustees should be prohibited to sit on DSO boards. Committee Chair Zimmerman asked General Counsel Solis if other SUS institutions have trustees on DSO boards and General Counsel informed him that almost all do. Trustee Watkins expressed her concern that USF may be seen as an outlier and that having a trustee on a DSO board may be needed to fulfill the

BOT's role as an oversight entity. Trustee Ramil stated that it is good governance for r multi-entity corporations to have separate boards as it protects the entities from liability and that separation facilitates oversight.

A discussion took place about how a non-BOT representative could be held accountable to the BOT. General Counsel informed the committee that letters had already been drafted and that reporting to the BOT on a regular basis would be part of the appointee's responsibilities.

General Counsel then presented additional changes to the operating procedures that were technical and would result in no material changes.

A motion was made my Committee Chair Zimmerman and seconded by Trustee Mullis with unanimous approval from the committee.

Committee Chair Zimmerman asked if there was any further comments from the committee and having none adjourned the Governance Committee at 10:40am.

BOT Chair Lamb provided an update on HB 423, including thanking all those who took part in the Governance Committee conference call on January 19. He then asked for feedback from Trustees Shinn, Goforth and Garey.

Trustee Garey, USF System Faculty Council President spoke on behalf of the faculty and stated that the Tampa Faculty Senate sent a letter of support to the St. Petersburg and Sarasota-Manatee faculty in support of them.

Trustee Shinn, USFSM Campus Board Chair informed the trustees that he has had productive meetings with USFSM Regional Chancellor Karen Holbrook, faculty, regional CEOs and other Campus Board members to ensure that USFSM is well represented regardless of the fate of the bill.

Trustee Goforth, USFSP Campus Board Chair informed the trustees about her regular contact with USFSP Interim Regional Chancellor Martin Tadlock, faculty and the Chamber of Commerce to reassure that there is trust in the process and that students will continue to be the priority.

BOT Chair Lamb ended the conversation by informing the trustees of his talks with legislatures and his commitment to continue to operate with appropriate processes and transparency while keeping in mind the goal of student success.

Agenda Item: FL 102

USF Board of Trustees
Governance Committee
August 27, 2018

Issue: President's 2018-2019 Goals

Proposed action: Approval of [President Genshaft's 2018-2019 Goals](#)

Executive Summary:

President Genshaft's 2018-2019 Goals as based on BOG and BOT approved USF System Work Plans and USF Tampa Preeminence Plan. A major priority for the next two years pertain to the 2018 Florida statute requiring USF to consolidate from three separately accredited institutions into a single accredited university.

Strategic Goal(s) Item Supports:

Supporting Documentation Online: **Yes** **No**

President's 2018-2019 Goals

USF System or Institution specific: **USF System**

Prepared by: Dr. Cynthia Visot, Chief of Staff

**USF System President
July 2018-June 2019
GOALS**

GOAL 1: Research

The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

- Research & Innovation will continue to work to enhance the USF System ranking in the top 10% in total research expenditures for research universities as per the annual NSF Higher Education Research & Development Survey of research institutions' classification.
- Research & Innovation will promote externally sponsored research in order to remain at or above the FY2017-18 mark of \$ xxx million in contracts and grants and awards. *(FY2017/18 mark is not available until September 2018)*
- Research & Innovation will continue to exceed the Florida BOG Preeminence metrics for USF Tampa unless noted related to research as reported in its Preeminence Plan*:
 - Science & Engineering Research Expenditures - \$504 M (2018-19)
 - Non-Medical Sciences Research Expenditures -\$290 M (2018-19)
 - National Ranking in S.T.E.M. Research Expenditures - 8 of 8 disciplines (2018-19)
 - Patents Awarded - for 2017-2019 for 3-year period - 325
 - National Academy Members – 13 (2019)
 - Postdoctoral appointees – 260 (Fall 2018)

**Performance Goals based on those approved by BOT and BOG in the recent USF System Accountability Plan and Preeminence Plan*

- Research & Innovation will continue to foster an innovative culture and promote the intellectual property of faculty, students and staff to be in the top 25% nationally when compared to individual institutions in patents, licensing and commercialization activities.
- In acknowledgement of the commitment that the USF System has to the citizens of Florida, Research & Innovation will continue to enhance the workforce and increase employment opportunities in our community and state by partnering with others to attract new business to our area and propelling start-up companies to success.
- Research & Innovation will seek out and nurture business partnerships, economic development initiatives and economic engagement opportunities for the USF System in order to remain at or above the FY 2017/18 mark of 426 industry-related grants and contracts (e.g., industry investments, SBIR, STTR, State of Florida investments in SBIR/STTR). **
- *USF Health will increase the amount of NIH grants and contracts awarded by 5% over FY2018.*

***Goal is consistent with the Florida SUS Board of Governors-approved Research Dashboard.*

GOAL 2: Revenue Generating Funds including Fundraising

The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

A. Fundraising

- Raise \$80 million or more in total gifts and commitments for the USF System including Athletics and USF Health.
- Increase the endowment through a combination of gifts and investments in adherence to our policy.
- Maintain top quartile (better than 75% of others) ranking in NACUBO long-term endowment ranking.

B. Finance

- The USF System will retain its positive bond ratings by Moody's Investor Service (AA2) as well as its S&P ratings.
- Submit the required Board of Trustees approved financial package to the Board of Governors, which supports the request for the financing of a new housing facility at USF St. Petersburg.
- Complete a potential housing facility demand study and a financial feasibility study and analysis for USF Sarasota-Manatee.
- Complete a financial package for the financing of a research facility in the USF Research Park.

GOAL 3: Student Success*

The USF System will continue to demonstrate progress toward meeting Florida Performance Based Funding metrics at a higher level and USF (Tampa) will continue to demonstrate progress toward meeting the 12 metrics for Florida Preeminence status as well as four primary and four secondary performance indicators of institutional breadth and quality in research and education for AAU membership eligibility. The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

- Academic progress rate for the summer/fall 2017 FTIC cohort for the USF System – 87.4%¹
(USF Tampa 91%²; USF St. Petersburg 78.0%¹; USF Sarasota-Manatee 84.4%¹)
- 6-year graduation rate for the summer/fall 2012 FTIC cohort for the USF System – 69.0%
(USF Tampa 73%²; USF St. Petersburg 39.0%; USF Sarasota-Manatee N/A)
- 4-year graduation rate for summer/fall FTIC 2014 cohort (full-time students only) for the USF System – 57.6%¹
(USF Tampa 60%¹; USF St. Petersburg 40.0%¹; USF Sarasota-Manatee 36.0%)
- Average High School GPA for Fall 2018 FTICs for USF (Tampa) - 4.1³
- Average 2-section SAT score for Fall 2018 FTICs for USF (Tampa) – 1282³
- Total Doctorates awarded in AY 2018/19 - 730³
- Percentage of baccalaureate students graduating in AY 2017/18 without excess hours for the USF System – 79.0% (USF Tampa 79.0%; USF St. Petersburg 78.0%; USF Sarasota-Manatee 81.0%)
- Percentage of baccalaureate degrees awarded in areas of strategic emphasis in AY 2018/19 for the USF System – 62.3% (USF Tampa 65.0%; USF St. Petersburg 48.0%; USF Sarasota-Manatee 47.0%)
- Percentage of graduate degrees awarded in areas of strategic emphasis in AY 2018/19 for the USF System – 75.3% (USF Tampa 79.0%; USF St. Petersburg 30.5%; USF Sarasota-Manatee 25.0%)
- Percentage of bachelor's graduates enrolled or employed one year after graduation (2016-17 graduates) USF System – 70.5% (USF Tampa 70.5%; USF St. Petersburg 70.0%; USF Sarasota-Manatee 72.8%)
- Median Wages of Bachelor's Graduates Employed Full-time one-year after graduation (\$25,000+) (2016-17 graduates as defined by BOG) USF System - \$39,100, (USF Tampa \$38,000; USF St. Petersburg \$37,200; USF Sarasota-Manatee \$38,200)
- Morsani College of Medicine incoming Fall 2018 class will maintain MCAT scores greater than 90th percentile and achieve pass rates for Step 1 and 2 of USMLE greater than the national average.

**Performance Goals approved by BOT and BOG in recent Accountability Plans; Due to lapse in reporting, 2016/17 & 2017/18 goals are used in some metrics*

¹ Reflects the **Performance Based Funding (PBF)** definition and methodology of retention rate (FTIC 2nd year retention rate with GPA > 2.0) and 6-year graduation rate (cohort = Full- and Part-Time) or 4-year graduation rate (cohort = Full-Time) from the home campus only. This does not include "swirl" data for all students retained and graduating across the USF System.

² Reflects the **preeminence** definition and methodology of retention rate (IPEDS definition of a cohort = Full-Time) and 6-year or 4-year graduation rate (IPEDS definition of a cohort = Full-Time)

³ Student Profile metrics (HS GPA and SAT) are captured in the BOG Accountability Plans only as a **preeminence** metric thus goals for USF Tampa is reflected

GOAL 4: Strategic Initiatives

The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

A. USF System

- Utilizing the USF Board of Trustees approved guiding principles for consolidation, the USF System leadership will submit an implementation plan that establishes a timeline for the consolidation of institutions into a single accredited institution by July 2, 2020. *
- During the 2018-19 academic year, the USF System will launch the new comprehensive brand campaign and begin implementation of an integrated marketing communications plan.
- USF System leadership will continue to work with the Legislature and Governor to achieve as many 2018-19 approved priorities as possible. Leadership will also continue to work to secure additional BOG Florida Performance Based Funding that would benefit the USF System.

**Section 1004.335, Florida Statutes: The BOT approved implementation plan is due to the Florida Board of Governors on or before March 15, 2019. The internal implementation committees established all incorporate representatives throughout the USF System.*

B. Leadership

- USF System President will continue to engage in leadership positions on the local, national and global levels to enhance the University's role and status. The President will encourage leadership throughout the USF System to engage their respective communities.

8/20/2018

President Genshaft's 2018-19 Goals



The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

Goal 1 – Research

Continue to:

- enhance the USF System ranking in the top 10% in total research expenditures
- promote externally sponsored research at or above the FY2017-2018 mark in contracts, grants & awards
- enhance the workforce & increase employment opportunities in our community & state by partnering with others to attract new business & propelling start-up companies to success



- **Exceed the Florida BOG Preeminence metrics for USF Tampa**

- Science & Engineering Research Expenditures - \$504M (2018-19)
- Non-Medical Sciences Research Expenditures - \$290M (2018-19)
- National Ranking in S.T.E.M. Research Expenditures = 8 of 8 disciplines (2018-19)
- Patents Awarded - 325 for 2017-2019
- National Academy Members – 13 (2019)
- Postdoctoral appointees – 260 (Fall 2018)



Continue to:

- foster an innovative culture & promote the intellectual property of faculty, students and staff to be in the top 25% nationally in patents, licensing & commercialization activities
- seek out & nurture business partnerships, economic development initiatives & engagement opportunities at or above FY2017-2018 mark of 426 industry-related grants & contracts
- increase the amount of NIH grants & contracts awarded by 5% over FY2017 in USF Health



The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

Goal 2 – Revenue Generating Funds

Fundraising:

- Raise \$80 million or more gifts & commitments
- Increase the endowment
- Maintain top quartile ranking in NACUBO



Finance:

- Retain its positive bond ratings by Moody's (AA2) & S&P ratings
- Submit approved financial package to BOG – USFSP housing facility financing
- Complete potential housing facility demand study and financial feasibility study and analysis for USFSM
- Complete financial package – USF Research Park facility



The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

Goal 3 - Student Success

- Academic progress rate for the summer/fall 2016 FTIC cohort for the USF System – 87.4% ¹

(USF Tampa 91% ²; USF St. Petersburg 78% ¹; USF Sarasota-Manatee 84.4%)

- 6-year graduation rate for the summer/fall 2012 FTIC cohort for the USF System – 69%

(USF Tampa 73% ; USF St. Petersburg 39% ; USF Sarasota-Manatee N/A)

- Average High School GPA for Fall 2018 FTICs for USF (Tampa) - 4.1
- Average 2-section SAT score for Fall 2018 FTICs for USF (Tampa) – 1282



- Total Doctorates awarded in AY 2018/19 - 730
- Percentage of baccalaureate students graduating in AY 2017/18 without excess hours for the

USF System – 79% (*USF Tampa 79%; USF St. Petersburg 78%; USF Sarasota-Manatee 81%*)

- Percentage of baccalaureate degrees awarded in areas of strategic emphasis in AY 2018/19 for the

USF System - 62.3 (*USF Tampa 65%; USF St. Petersburg 48%; USF Sarasota-Manatee 47%*)

- Percentage of graduate degrees awarded in areas of strategic emphasis in AY 2018/19 for the

USF System – 75.3% (*USF Tampa 79%; USF St. Petersburg 30.5%; USF Sarasota-Manatee 25%*)



- Percentage of bachelor's graduates enrolled or employed one year after graduation (2016-17 graduates) USF System – 70.5%

(USF Tampa 70.5%; USF St. Petersburg 70.0%; USF Sarasota-Manatee 72.8%)

- Median Wages of Bachelor's Graduates Employed Full-time one-year after graduation (\$25,000+) (2016-17 graduates as defined by BOG) USF System - \$39,100

(USF Tampa \$38,000; USF St. Petersburg \$37,200; USF Sarasota-Manatee \$38,200)

- USF Health – Fall 2018 class will maintain MCAT scores greater than 90th percentile and achieve pass rates for Step 1 & 2 of USMLE greater than national average.

The President will provide the overall leadership for and hold the appropriate leader(s) accountable to achieve the following:

Goal 4: Strategic Initiatives

A. USF System Leadership

- Utilizing the USF Board of Trustees approved guiding principles for consolidation, the USF System leadership will submit an implementation plan that establishes a timeline for the consolidation of institutions into a single accredited institution by July 2, 2020.
- Will launch the new comprehensive brand campaign & begin implementation of an integrated marketing communications plan.



- Will continue to work with the Legislature and Governor to achieve as many 2018-19 approved priorities as possible. Leadership will also continue to work to secure additional BOG Florida Performance Based Funding that would benefit the USF System.

B. Leadership

- Will continue to engage in leadership positions on the Local, National and Global levels to enhance the University's role and status. The President will encourage leadership throughout the USF System to engage their respective communities.



Agenda Item: FL103

**USF Board of Trustees
Governance Committee
August 27, 2018**

Issue: Oversight of University Direct Support Organizations (“DSO”)

Proposed action: Recommend to the USF Board of Trustees for approval the attached amendments to USF System Regulation 13.002- Direct Support Organizations and Health Services Support Organization

Executive Summary: This agenda item is to approve amendments to the USF System Regulation 13.002 Direct Support Organizations and Health Services Support Organization

The Board of Trustees’ oversight of the DSOs was previously discussed by this committee on January 19, 2017, May 18, 2017, August 17, 2017 and February 13, 2018. The proposed amendments to USF System Regulation 13.002 were posted for comment on April 5, 2018 in accordance with USF System Policy 0-001 and the Florida Board of Governors Regulation Development Procedure. We did not receive any comments on these amendments.

The Regulation was further technically amended to comply with subsequent changes to Florida Statute and the proposed Florida Board of Governors Regulation 9.011.

For your review, we have included:

1. Redlined [USF System Regulation 13.002](#) with recommended changes
2. Proposed Florida Board of Governors [Regulation 9.011](#)
3. [Florida Statute §1004.28](#)

Strategic Goal(s) Item Support: USF System Strategic Goal No 4: Sound financial management to establish a strong and sustainable economic base in support of USF’s continued academic advancement.

Committee Review Date: August 27, 2018

Supporting Documentation Online (Please Underline): Yes No

USF System or Institution Specific: USF System wide

Prepared by: Hilary Black, Senior Associate General Counsel

9.011 University Direct Support Organizations and Health Services Support Organizations

(1) University boards of trustees may establish direct support organizations (“DSO”) and health services support organizations and certify them to use university property, facilities and personal services. Such support organizations shall be organized and operated to serve the best interests or missions of the university, including a university’s research, education and service missions, and may receive, hold, invest, and administer property and make expenditures to or for the benefit of the university or for the benefit of a research and development park or research and development authority affiliated with a university.

(2) Each board of trustees shall establish by regulation conditions with which a support organization must comply in order to use university property, facilities, or personal services and such additional conditions, controls, and requirements for support organizations as each board deems appropriate to provide for budget and audit review and oversight. In addition, the regulation must include the following conditions:

- (a) The establishment of appropriate thresholds that delineate when approval by the board of trustees is required for the purchase of goods and services by a DSO.
- (b) All debt issued by a DSO is subject to the State University System Debt Management Guidelines and all public-private partnership transactions involving a DSO are subject to the State University System Public-Private Partnership Guidelines.
- (c) The establishment of appropriate thresholds that delineate when approval is required by the board of trustees for the acquisition of real property and the construction or renovation of facilities by a DSO.
- (d) University personal services used by a DSO are subject to the remuneration requirements set forth in section 1012.976, Florida Statutes.
- (e) A DSO is prohibited from using state funds for travel expenses incurred by the DSO.
- (f) A DSO is prohibited from giving, either directly, or indirectly, any gift to a political committee as defined in section. 106.011 Florida Statutes, for any purpose.

(23) The Director or Chief ~~Executive~~ Operating Officer of the support organization shall report to the University President or designee.

(34) Operating budgets of support organizations shall be prepared at least annually, and approved by the organization’s governing board and the university board of trustees ~~or designee~~. Significant changes in planned expenditures in the approved budget must be reported to the university board of trustees ~~or designee~~ as soon as practicable but no later than the deadline established by a board of trustees.

(45) Support organizations shall provide for an annual audit conducted pursuant to university regulations or policies. The annual audit report shall be submitted to the university board of trustees for review. The ~~approved~~ audit report shall be submitted to the Board of Governors, and the Auditor General. The university board of trustees or designee, the Board of Governors, the Auditor General, and the Office of Program and Policy Analysis and Government Accountability may require and receive any records relative to the operation of a support organization from the organization or its independent auditors.

(56) Each support organization shall submit its federal Internal Revenue Service application for Recognition of Exemption form (Form 1023) and its federal Internal Revenue Service Return of Organization Exempt from Income Tax form (Form 990) to the university board of trustees or designee at the times required by the applicable regulation or policy of the board of trustees. Copies of such forms shall be provided by each university to the Board of Governors.

(7) As of July 1, 2019, any transfer of a state appropriation to a DSO is limited to funds pledged for capital projects.

- (a) This regulation does not prohibit the transfer of non-state funds between university DSOs, or the transfer of non-state funds to the DSO, as long as the original source of funding was not a state appropriation.
- (b) A DSO may transfer funds and provide the use of DSO property, facilities or personal services without any charge to the university.
- (c) Effective for fiscal 2018-2019, and annually thereafter, each university will report to the Legislature and the Board of Governors all transfers of state funds to each university DSO, using the format and instructions specified by the Chancellor.

(8) A support organization shall provide equal employment opportunities to all persons, regardless of race, color, national origin, sex, religion, age, disability, marital status, veteran status, or any other basis protected by law.

(89) The chair of the university board of trustees shall appoint at least one representative to each DSO board of directors and executive committee (if any). The university president or designee shall also serve on the board of directors and executive committee of each DSO. The university board of trustees shall approve all appointments to any DSO board other than the chair's representative(s) or the president or president's designee. The chair's designee may not be the university president; nor may the chair and president appoint the same person to represent both the chair and the president on any one DSO board.

(610) University boards of trustees shall decertify a support organization if the university board of trustees or designee determines that the organization is no longer serving the best interest or mission of the university and decertification is appropriate.

In decertifying a support organization, the board of trustees shall require an accounting of the organization's assets and liabilities and take such reasonable action as necessary to secure the return of all university property and facilities as requested by the university.

Authority: Section 7(d), Art. IX, Fla. Const., History – Formerly 6C-3.12, 11-18-70, Amended and Renumber 12-17-74, Amended 4-14-76, 6-25-80, 8-11-85, Formerly 6C-9.11, Amended 9-28-86, 2-13-89, 4-10-90, 12-9-91, 8-1-94, 4-16-96, Amended and Renumbered 8-6-09, Amended XX-XX-XX.



REGULATION

✓USF System USF USFSP USFSM

Number: USF13.002
Title: Direct Support Organizations and Health Services Support Organizations
Responsible Office: USF System Services

Date of Origin: 11-20-03 **Date Last Amended:** 8-17-15 (technical) **Date Last Reviewed:** 8-17-15

(1) An organization seeking to receive, hold, invest and administer property and to make expenditures to, or for, the benefit of the University of South Florida System (“USF System”) may request approval by the University of South Florida Board of Trustees (“Board”) to become a direct-support organization, as provided in [Section 1004.28, Florida Statutes](#). An organization seeking to enter into arrangements with other entities as providers in other integrated health care systems or similar entities for the exclusive benefit of the USF System may request approval by the Board to become a health services support organization, as provided in [Section 1004.29, Florida Statutes](#). In no case shall the USF System have any responsibility for acts, debts, liabilities, and obligations incurred or assumed by a health services support organization.

(2) Upon approval by the Board, a direct-support organization or health services support organization (“Support Organization[s]”) shall be certified and authorized to use the property, facilities and personnel services of the USF System to the extent permissible by applicable law, the conditions prescribed by regulations, and internal management memoranda of the USF System.

(3) The Articles of Incorporation and Bylaws of a Support Organization of the USF System and all amendments of such Articles or Bylaws shall be recommended and presented by the President of the USF System (“President”) to the Board for review and approval.

a) The Articles or Bylaws, as applicable, of a Support Organization shall require the appointment of at least one representative to the Support Organization’s board of directors and its executive committee by the Board Chair. The Board Chair’s representative(s) may be selected by the Board Chair from the existing membership of the Support Organization’s board of directors or its executive committee.

38 b) The Articles or Bylaws, as applicable, of a Support Organization shall require the
39 President, or his or her designee, serve on the Support Organization's board of
40 directors and its executive committee.

41 c) The Board shall approve all other appointments to the board of directors of each
42 Support Organization.

43
44 (4) Operating budgets of Support Organizations shall be prepared at least annually,
45 approved by the organization's governing board, and presented by the President to the Board for
46 review and approval.

47 (5) Expenditure plans of Support Organizations shall be reviewed and approved quarterly
48 by the President or designee; said designee shall be a vice president, provost or other duly
49 authorized senior officer of the USF System reporting directly to the President and having
50 operational responsibility on behalf of the USF System for the Support Organization.

51 (6) Thresholds for approval of purchases, acquisitions, projects and issuance of debt by
52 Support Organizations shall be set by the Board.

53 (7) All debt issued by a Support Organization is subject to the State University System
54 Debt Management Guidelines and all public-private partnership transactions involving a Support
55 Organization are subject to the State University System Public-Private Partnership Guidelines.

56 (8) Support Organizations shall provide for an annual financial audit and management
57 letter as prescribed by, and in accordance with, applicable law, regulations (including USF Regulation
58 13.002, Direct-Support Organizations and Health Services Support Organizations) and internal
59 management memoranda. The letter shall be forwarded to the Board for review, oversight and
60 approval. The Board shall have the right to inspect and audit the books and records of Support
61 Organizations, which must be made available to the Board upon request.

62 (9) Support Organizations shall adopt the following policies:

63 a) Conflict of Interest and Financial Code of Ethics Policy

64 b) Expenditure Policy

65 c) Signatory Authority Policy

66 d) Procurement Policy (to include supplier diversity)

67 e) Travel Policy

68 f) Internal Controls and Internal Audit Policy

69 g) Workplace Discrimination and Retaliation Policy

b)h) Public Appearance Policy

Support Organizations may adopt such other policies and procedures deemed appropriate by their board of directors. Each Support Organization shall certify to the Board that all of the above policies are adopted and then reviewed on an annual basis.

~~7~~(10) The Board is authorized to revoke certification of an organization as a Support Organization of the USF System if it determines, in its sole discretion, that the organization is no longer serving the best interest of the USF System. If certification is revoked, the Board shall determine the disposition of the Support Organization's assets and liabilities in accordance with applicable laws, the Support Organization's Articles of Incorporation and Bylaws.

(11) A Support Organization is prohibited from giving, either directly or indirectly, any gift to a political committee as defined in Section 106.011, Florida Statutes.

(12) A Support Organization is prohibited from receiving state funds for Support Organization travel expenses.

Authority: Art. IX, Sec. 7, Fla. Constitution; BOG Regulations 1.001, 9.011; Sections 1004.28, 1004.29, F.S.

History: New (BOT approval) 11-20-03, Formerly 6C4-13.002, F.A.C., Amended 9-10-09, 10-24-12, 8-17-15 (technical)

Certification: USF certifies that it has followed the Florida Board of Governors Regulation Development Procedure and has a record of written notices, comments, summaries and responses as required.

Select Year:

The 2018 Florida Statutes

[Title XLVIII](#)
K-20 EDUCATION CODE

[Chapter 1004](#)
PUBLIC POSTSECONDARY EDUCATION

[View Entire Chapter](#)

1004.28 Direct-support organizations; use of property; board of directors; activities; audit; facilities.—

(1) DEFINITIONS.—For the purposes of this section:

(a) “University direct-support organization” means an organization which is:

1. A Florida corporation not for profit incorporated under the provisions of chapter 617 and approved by the Department of State.
2. Organized and operated exclusively to receive, hold, invest, and administer property and to make expenditures to or for the benefit of a state university in Florida or for the benefit of a research and development park or research and development authority affiliated with a state university and organized under part V of chapter 159.
3. An organization that a state university board of trustees, after review, has certified to be operating in a manner consistent with the goals of the university and in the best interest of the state. Any organization that is denied certification by the board of trustees shall not use the name of the university that it serves.

(b) “Personal services” includes full-time or part-time personnel as well as payroll processing.

(c) “Property” does not include student fee revenues collected pursuant to s. [1009.24](#).

(2) USE OF PROPERTY.—

(a) Each state university board of trustees is authorized to permit the use of property, facilities, and personal services at any state university by any university direct-support organization, and, subject to the provisions of this section, direct-support organizations may establish accounts with the State Board of Administration for investment of funds pursuant to part IV of chapter 218.

(b) The board of trustees, in accordance with regulations and guidelines of the Board of Governors, shall prescribe by regulation conditions with which a university direct-support organization must comply in order to use property, facilities, or personal services at any state university, including that personal services must comply with s. [1012.976](#). Such regulations shall provide for budget and audit review and oversight by the board of trustees, including thresholds for approval of purchases, acquisitions, projects, and issuance of debt. No later than July 1, 2019, the transfer of a state appropriation by the board of trustees to any direct-support organization may only include funds pledged for capital projects. Beginning July 1, 2019, and annually thereafter, each university board of trustees shall report to the Legislature the amount of state appropriations transferred to any direct-support organization during the previous fiscal year, the purpose for which the funds were transferred, and the remaining balance of any funds transferred.

(c) The board of trustees may not transfer any funds to and shall not permit the use of property, facilities, or personal services at any state university by any university direct-support organization that does not provide equal employment opportunities to all persons regardless of race, color, religion, gender, age, or national origin.

(d) The board of trustees may not permit the use of state funds for travel expenses by any university direct-support organization.

(3) BOARD OF DIRECTORS.—The chair of the university board of trustees shall appoint at least one representative to the board of directors and the executive committee of any direct-support organization established under this section. The president of the university for which the direct-support organization is established, or his or her designee, shall also serve on the board of directors and the executive committee of any

direct-support organization established to benefit that university. The university board of trustees shall approve all appointments to any direct-support organization not authorized by this subsection.

(4) **ACTIVITIES; RESTRICTION.**—A university direct-support organization is prohibited from giving, either directly or indirectly, any gift to a political committee as defined in s. [106.011](#) for any purpose.

(5) **ANNUAL AUDIT; PUBLIC RECORDS EXEMPTION; PUBLIC MEETINGS EXEMPTION.**—

(a) Each direct-support organization shall provide for an annual financial audit of its accounts and records to be conducted by an independent certified public accountant in accordance with rules adopted by the Auditor General pursuant to s. [11.45](#)(8) and by the university board of trustees. The annual audit report shall be submitted, within 9 months after the end of the fiscal year, to the Auditor General and the Board of Governors for review. The Board of Governors, the university board of trustees, the Auditor General, and the Office of Program Policy Analysis and Government Accountability shall have the authority to require and receive from the organization or from its independent auditor any records relative to the operation of the organization. The identity of donors who desire to remain anonymous shall be protected, and that anonymity shall be maintained in the auditor's report.

(b) Other than the auditor's report, management letter, any records related to the expenditure of state funds, and any financial records related to the expenditure of private funds for travel, all records of the organization and any supplemental data requested by the Board of Governors, the university board of trustees, the Auditor General, and the Office of Program Policy Analysis and Government Accountability shall be confidential and exempt from s. [119.07](#)(1).

(c) Any portion of a meeting of the board of directors of the organization, or of the executive committee or other committees of such board, at which any proposal seeking research funding from the organization or a plan or program for either initiating or supporting research is discussed is exempt from s. [286.011](#) and s. 24(b), Art. I of the State Constitution. This paragraph is subject to the Open Government Sunset Review Act in accordance with s. [119.15](#) and shall stand repealed on October 2, 2019, unless reviewed and saved from repeal through reenactment by the Legislature.

(6) **FACILITIES.**—Each direct-support organization is authorized to enter into agreements to finance, design and construct, lease, lease-purchase, purchase, or operate facilities necessary and desirable to serve the needs and purposes of the university, as determined by the systemwide strategic plan adopted by the Board of Governors. Such agreements are subject to the provisions of ss. [1010.62](#) and [1013.171](#).

(7) **ANNUAL BUDGETS AND REPORTS.**—Each direct-support organization shall submit to the university president and the Board of Governors its federal Internal Revenue Service Application for Recognition of Exemption form (Form 1023) and its federal Internal Revenue Service Return of Organization Exempt from Income Tax form (Form 990).

History.—s. 172, ch. 2002-387; s. 173, ch. 2007-5; s. 89, ch. 2007-217; s. 31, ch. 2013-37; s. 1, ch. 2014-27; s. 7, ch. 2018-4.

Agenda Item: FL 103

USF Board of Trustees
August 27, 2018

Issue: [Data Integrity and Reporting to External Entities](#)

Proposed action: Information Item

Executive Summary:

Institutional data are a strategic asset of the University of South Florida System (USF System) and the appropriate management and use of data is critical to the University's operations. Inappropriate use of data can result in inefficiencies and exposes the University to unwanted risk, including risk to its brand and reputation. The purpose of this information item is to address verification and reporting protocols being developed in support of [reporting institutional data to external entities](#). The USF System Office of Decision Support provides the highest levels of compliance with national standards and best practices.

Financial Impact: Inappropriate management and use of data can potentially impact rankings and reputational measures, which in turn can impact funding related to performance metrics.

Strategic Goal(s) Item Supports: All

Workgroup Review Date: August 27, 2018

Supporting Documents Online (*please circle*):

Yes



No

USF System or Institution specific: USF System

Prepared by: Dr. Valeria Garcia, AVP, USF System Office of Decision Support

40 applicable, ODS serves as an additional data control mechanism for the USF System Data
 41 Administrator, within the USF System Office of Data Administration & State Reporting who
 42 is charged with managing university responses to the Florida Board of Governors' (BOG)
 43 official information requests – including routine annual requests and ad hoc special requests
 44 pursuant to [BOG Regulation 3.007](#).

45
 46 **III. APPLICABILITY & AUTHORITY**

47
 48 All units/offices across the USF System for all data requests by External Entities, unless
 49 determined to be Out-of-Scope as specified in Section 7 of this policy.

50
 51 **IV. DEFINITIONS**

52
 53 **A. Institutional Data:** Institutional data are defined as all data elements created, maintained,
 54 received, or transmitted as a result of business, educational or research activities of a USF
 55 System unit or office and may include one more of the following characteristics:

- 56 • Relevant to the operations, planning, controlling or auditing of business functions of both
- 57 administrative and academic units.
- 58 • Generally referenced or required between more than one administrative and academic
- 59 unit.
- 60 • Included in an officially published USF System report.
- 61 • Generated or derived by any entity of the USF System or employee, or an affiliate or agent
- 62 of the USF System.
- 63 • Classified and constrained in accordance with USF System, state, and federal laws and
- 64 policies.

65
 66 **B. External Data Requests:** Data requests from an External Entity (i.e., outside agencies or
 67 offices or persons). External data requests to whom this policy applies, generally include, but
 68 are not limited to:

- 69 • Guidebooks for prospective students (College Board, Princeton, etc.)
- 70 • Publications by external entities (NSF, CUPA, ACT, etc.)
- 71 • Ranking publications – international and domestic (U.S. News and World Report, Times
- 72 Higher Education, etc.)
- 73 • Surveys administered by or on behalf of external entities (NSSE, THE-WSJ, Princeton
- 74 Review, etc.)
- 75 • Other external reports available to the general public.
- 76 • Mandated reports (IPEDS, etc.)
- 77 • Research grants that require University data
- 78 • Contractual reporting (AAUP, etc.)
- 79 • Accrediting Bodies (SACSCOC, specialized accrediting agencies)

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C. External Data Submission: The release or production of documents in response to a request to an External Entity.

D. External Entity: External Entity is defined as an outside agency, organization, company, office or persons.

E. Unit Data Coordinator: University employee identified by the unit’s Accountable Officer as the liaison/coordinator between the External Entity and the USF System and the USF System Office of Decision Support.

F. Unit or Office: Any unit or office within the USF System.

G. Unit or Office Accountable Officer: The Unit or Office Accountable Officer is the person who is at the leadership level in the Unit or Office. The Accountable Officer holds the responsibility of identifying the Unit Data Coordinator and certifying the submission before final submission to the External Entity.

H. USF System Office of Data Administration & State Reporting (Data Administrator): The USF Data Administrator through the USF System Office of Data Administration & State Reporting is charged with certifying and managing the submission of data to the Florida Board of Governors (BOG) on behalf of the University of South Florida (USF) System pursuant to [BOG Regulation 3.007](#). Data Administration & State Reporting serves as a liaison between the BOG Office of Data Analytics (ODA) and the USF System regarding requests for information and coordinates the efforts of academic and administrative resources to ensure timely and accurate responses.

V. PROCESS STEPS

A. External Data Request Support: All external requests for institutional data must go through the University of South Florida System’s Office of Decision Support (ODS). ODS coordinates with the USF System Data Administrator for SUS BOG submissions and submissions of any data to external entities which are subject to internal audit for the purposes of state funding.

B. Unit or Office Responsibilities:

1. Depending on the type of Data Request, the request will be:
 - a. Processed by the Unit or Office and then submitted to ODS for review and approval for release of the submission to the External Entity. Such requests must include certification by the Unit or Office Accountable Officer before submission to the External Entity;

121 Directly submitted to ODS for assessment, processing, coordination and/or
 122 response. Such requests will require certification by the Unit or Office
 123 Accountable Officer before submission to the External Data Requestor.
 124

- 125 2. The Unit or Office must submit requests for support of an External Data Submission
 126 using the USF System ODS [Research & Data Request form](#)
 127
- 128 3. Public records requests will be addressed in compliance with the University [Public Records](#)
 129 [Policy 0-106](#). Such requests can be submitted using the [Public Records Request Form](#).
 130 ODS cost estimates and protocols may apply.
 131
- 132 4. Ensure that requests are sent to ODS, 30 days prior to submission deadline. Exceptions
 133 will be considered, with appropriate justification.
 134
- 135 5. The Unit Data Coordinator representing the Unit or Office will ensure active engagement
 136 with the submission, including:
 - 137 a. Providing legitimacy of the request need for support for the External Data
 138 Submission.
 - 139 b. Providing all required documentation (e.g., prior submissions, methodology,
 140 directions, etc.), including those materials made available by the External Entity.
 - 141 c. Responding to the External Entity verifying receipt of the request and advising
 142 that the request will be processed.
 - 143 d. Following up with the External Entity if deemed necessary in order to process the
 144 request (e.g., determine additional information, define parameters, seek
 145 clarification, etc.).
 - 146 e. Maintaining proper documentation of any steps completed by the unit data
 147 coordinator.
 - 148 f. Sourcing all data and methodology utilized if completed or compiled by the unit
 149 coordinator.
 - 150 g. Unless otherwise determined, submitting to the External Entity.
 - 151 h. Retaining a completed copy of the production for archival purposes.
 152
- 153 6. The Unit Data Coordinator has the responsibility of initiating each request for an external
 154 data submission, regardless of frequency of request, as well as ensuring extensions are
 155 secured and/or timely submission of an external request.
 156

157 **C. ODS Responsibility Includes:**

- 158 1. Depending on the type of Data Request:
 - 159 a. ODS will review and/or approve before release of the submission to the
 160 External Entity. Review will consider purview of data collected/reported,
 161 ensure face validity, review documentation in place, assess trends and/or

- 162 impact to the university brand/reputation. Such requests will require
 163 certification by the Accountable Officer before submission to the External
 164 Entity.
 165 b. ODS will conduct a thorough assessment, will engage with unit coordinator
 166 with appropriate follow-up questions, and will process the request with
 167 coordination of data from other units as applicable. Such requests will require
 168 certification by the Accountable Officer before approval to submit to the
 169 External Entity.
 170
 171 2. ODS will determine if additional contact with the External Entity is necessary to
 172 determine the parameters of the request, and if a Public Records Request, any costs
 173 that will be assessed.
 174
 175 3. ODS will adhere to data integrity standards for all submissions.
 176
 177 4. ODS will maintain proper documentation (both from the unit coordinator if furnished
 178 and produced by ODS).
 179
 180 5. ODS will retain a completed copy of the production for archival purposes.
 181

182 **VI. ADDITIONAL CONSIDERATIONS**

- 183
 184 **A.** There are specific instances when other offices should coordinate the release of data outside
 185 the University, as opposed to formal approval, with appropriate consultation with ODS. The
 186 follow list describes such instances:
 187 1. Pursuant to [Florida Board of Governor's Regulation 3.007](#), recurring and ad hoc
 188 requests from the BOG are managed by the USF System Office of Data
 189 Administration & State Reporting. As an additional data integrity control, the Data
 190 Administrator will collaborate with ODS for review before submission to the Florida
 191 BOG.
 192 2. Mandated and routine reporting specific to an individual unit or office may be exempt
 193 upon review and approved exemption by ODS. Review may include other USF System
 194 Offices, such as the USF System Office of Data Administration & State Reporting.
 195

196 **VII. OUT-OF-SCOPE**

- 197 **A.** There are specific External Data Submissions that are considered out-of-scope for review
 198 and/or approval. Such requests include, but are not limited to:
 199 • Freedom of Information Act requests (see University EO Officer)
 200 • Patient-related data (see USF Health)
 201 • Faculty generated research
 202

203 **Current Responsible Office*: Academic Affairs**

204 ***Refer to the appropriate Responsible Office website for a current name of the Vice President**
205 **or other Responsible Officer.**

206

207

208

209 *History: New*

DRAFT



POLICY

USF System USF USFSP USFSM

Number: 11-007
Title: Data Submission to External Entities
Responsible Office: Academic Affairs

Date of Origin: 8-24-18

Date Last Amended:

Date Last Reviewed:

I. PURPOSE & INTENT

Institutional data are a strategic asset of the University of South Florida System (USF System) and the appropriate management and use of data is critical to the University's operations. Inappropriate use of data can result in inefficiencies and exposes the University to unwanted risk, including risk to its brand and reputation. The purpose of this policy is to communicate to the USF System, the roles and responsibilities for responding to requests from External Entities that involve provision of institutional data. This policy specifies the coordinating role of the USF System Office of Decision Support (ODS) and reserves the title Office of Decision Support and/or "ODS" for this University administrative office and restricts any other USF administrative office from using the title or acronym.

Related Policies:

1. USF System [Policy 0-507, Data Management](#) defines institutional data and describes the University's data management policy and states that all USF System employees must recognize that the proper management of institutional data is critical to the success of the organization.
2. USF System [Policy 0-508, Information Security Structure](#), defines the University's Information Security Structure.
3. USF System [Policy 0-106, Public Records Law Compliance and Record Confidentiality](#), defines the procedure for maintaining and responding to requests for Public Records.
4. USF System [Policy 0-023, Internal Control](#), sets forth the internal control objectives and establishes standards in the design and implementation of the system of internal controls for the USF System.

II. STATEMENT OF POLICY

Institutional data requested by external entities will be considered and furnished pursuant to University policies and protocols to ensure legitimacy of the request and accuracy of any data submitted. Upon approval by the Accountable Officer, the Unit Data Coordinator will engage with the USF System Office of Decision Support for review and processing of the request adhering to the highest standards of data integrity. Prior to external submission and in compliance with the relevant University Policies, ODS will approve data sources and definitions and ensure rigorous documentation and verification standards are upheld.

III. APPLICABILITY & AUTHORITY

The Policy applies to all units/offices across the USF System and provides guidelines for processing data requests by External Entities with the following limitations and exceptions:

- A. *Requests from the Florida Board of Governors* (see [BOG Regulation 3.007](#)), including official information requests, routine annual requests, and adhoc special requests, which will be managed by the USF System Office of Data Administration & State Reporting. As an additional data integrity control, the Data Administrator will collaborate with ODS for review before submission to the Florida BOG.
- B. *Financial-Related data* which will be processed as specified by USF Business & Finance.
- C. *Data Generated from Faculty Research* which will be processed under the Research Protocols (see USF Use of Human Subjects in Research [Policy 0-305](#) and [Research Integrity & Compliance](#))
- D. *Patient-Related data* which will be processed as specified by USF Health (see USF Use of Human Subjects in Research [Policy 0-305](#) and [Research Integrity & Compliance](#))
- E. *Public Record Requests for documents* will be processed under the USF Public Records [Policy 0-106](#) and required submission of the [Public Records Request Form](#) and payment of any related costs including ODS costs.
- F. *Routine and mandated reporting* if the Unit or Office has requested and received written approval from ODS for an exemption from review or for appropriate redirection to an alternate office of the USF System (i.e., a USF System designated office, or an office within USF Tampa, USF Health, USF St. Petersburg or USF Sarasota-Manatee).

IV. DEFINITIONS

- A. **Accountable Officer:** The Accountable Officer is the person who is at the leadership level in the Unit or Office (ordinarily a University Vice President or Dean). The

Accountable Officer holds the responsibility of identifying the Unit Data Coordinator and certifying the submission before final submission to the External Entity.

- B. **External Data Requests:** Data requests from an External Entity (i.e., outside agencies or offices or persons). External data requests to whom this policy applies, generally include, but are not limited to:
- Guidebooks for prospective students (College Board, Princeton, etc.)
 - Publications by external entities (NSF, CUPA, ACT, etc.)
 - Ranking publications – international and domestic (U.S. News and World Report, Times Higher Education, etc.)
 - Surveys administered by or on behalf of external entities (NSSE, THE-WSJ, Princeton Review, etc.)
 - Other external reports available to the general public.
 - Mandated reports (IPEDS, etc.)
 - Research grants that require University data
 - Contractual reporting (AAUP, etc.)
 - Accrediting Bodies (SACSCOC, specialized accrediting agencies)
- C. **External Data Submission:** The release or production of documents in response to a request to an External Entity.
- D. **External Entity:** External Entity is defined as an outside agency, organization, company, office or persons.
- E. **Institutional Data:** Institutional data are defined as all data elements created, maintained, received, or transmitted as a result of business, educational or research activities of a USF System unit or office and may include one more of the following characteristics:
- Relevant to the operations, planning, controlling or auditing of business functions of both administrative and academic units.
 - Generally referenced or required between more than one administrative and academic unit.
 - Included in an officially published USF System report.
 - Generated or derived by any entity of the USF System or employee, or an affiliate or agent of the USF System.
 - Classified and constrained in accordance with USF System, state, and federal laws and policies.
- F. **Quality Assurance:** The maintenance of a desired level of quality in a service or product, especially by means of attention to every stage of the process of delivery or production.
- G. **Unit Data Coordinator:** University employee identified by the unit's Accountable Officer as the liaison/coordinator between the External Entity and the USF System and the USF System Office of Decision Support.
- H. **Unit or Office:** Any unit or office within the USF System.

V. **GENERAL GUIDELINES**

External Data Requests not exempted in Section III above, must go through the USF System's Office of Decision Support (ODS) which has established procedures for processing those requests details of which may be accessed on the [ODS Data Request site](#). General guidelines for Unit Data Coordinator and ODS are outlined below.

General Guidelines:

1. Unit Data Coordinator Responsibilities:
 - a. Notify ODS of an external data request (new or recurring) within three (3) business days of receipt using the USF System ODS [External Data Request form](#). Exceptions will be considered with appropriate justification.
 - b. Ensure extensions are secured and/or timely submission of an external request.
 - c. Serve as the liaison with the External Entity, as needed.
 - d. Adhere to data integrity standards.
 - e. Maintain proper documentation of the data submission.
 - f. Ensure completeness of the data submission.
 - g. Secure certification by the Accountable Officer before final approval by ODS for submission to the External Entity.
 - h. Retain a completed copy of the data submission for archival purposes.
2. ODS responsibilities:
 - a. Developing and implementing the Quality Assurance protocols to be followed by Unit Data Coordinators.
 - b. Conduct a thorough assessment of the external data request.
 - c. Ensure completeness of the data submission.
 - d. Review and approve before release of the data submission to the External Entity. Review considers purview of data collected/reported, ensure face validity, review documentation is in place, assess trends and/or impact to the university brand/reputation.
 - e. Ensure certification by the Accountable Officer before submission to the External Entity.

Current Responsible Office*: Academic Affairs

***Refer to the appropriate Responsible Office website for a current name of the Vice President or other Responsible Officer.**

History: New 8-24-18

Data Integrity & Reporting to External Entities

USF SYSTEM BOARD OF TRUSTEES
GOVERNANCE COMMITTEE

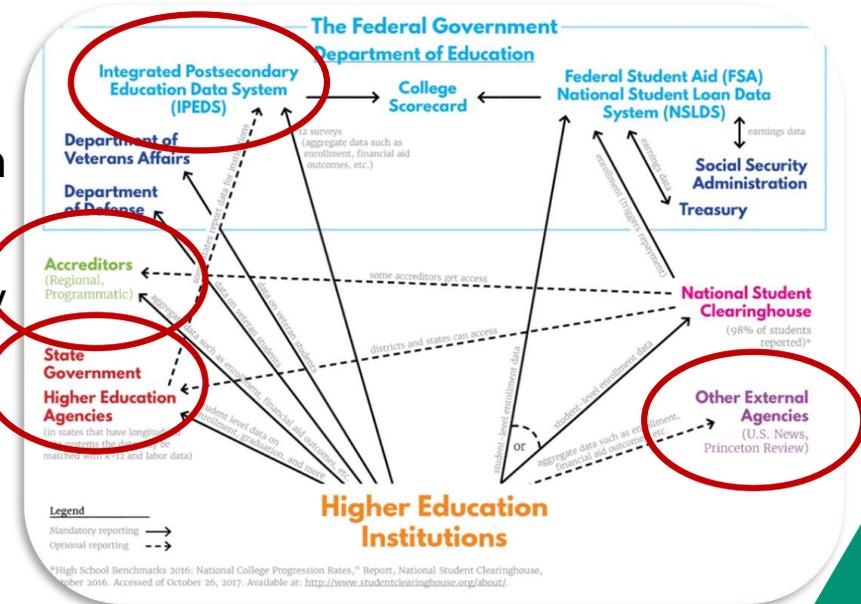
AUGUST 27, 2018

*Dr. Valeria Garcia, Associate Vice President
USF System Office of Decision Support (ODS)*



Why is This Important?

- Protection of brand and reputation
- Increased requests for data and information (accountability and transparency)
- Confidence in institutional and data integrity
- Prevention of erroneous, incomplete and/or fraudulent data management and reporting
- Assurance of internal controls around submission of data to External Entities
- Protection of public access and misuse of USF institutional data



Informed by Standards, Guided by Established Practice

“...obligation to the broader community to submit and/or disseminate **accurate information** and engage in **responsible reporting** when requested by legitimate authority [federal, state, accreditation entities]...with respect to private inquiries [rankings, guidebooks, etc.]...bound by the same **standards of accuracy, confidentiality, and professional responsible interpretation.**”

- Association for Institutional Research (AIR)
Code of Ethics and Professional Practice
- **USF System Policies**
(in particular, 0-023 Internal Control established August 2017)
- **Data Administration function**
(BOG Regulation 3.007)
- **Key Partnerships** *(with Audit & Compliance, Data Administration & Reporting, General Counsel, Information Technology)*
- **ODS Practices, Training, and Expertise**

Actions Taken

