



VCU

**VIRGINIA COMMONWEALTH UNIVERSITY
BOARD OF VISITORS**

1:00 P.M.

SEPTEMBER 14, 2017

**JAMES BRANCH CABELL LIBRARY
901 PARK AVENUE – ROOM 303
RICHMOND, VIRGINIA**

DRAFT

AGENDA

- | | |
|---|--------------------------------|
| 1. CALL TO ORDER & OPENING COMMENTS | Ms. Phoebe Hall, <i>Rector</i> |
| 2. APPROVAL OF AGENDA | Ms. Phoebe Hall, <i>Rector</i> |
| 3. APPROVAL OF MINUTES
May 10, 2017 minutes and August 17, 2017 minutes | Ms. Phoebe Hall, <i>Rector</i> |
| 4. PRESIDENT'S REPORT | President Michael Rao |
| 5. FINANCE, BUDGET AND INVESTMENT COMMITTEE | Mr. William Ginther, Chair |

Report to the Board of Visitors

Action Items:

- (a) Recommendation to approve Committee Charter
- (b) Recommendation to approve financial assumptions in six-year plan
- (c) Recommendation to approve resolutions regarding:
 - i. 9(d) Virginia College Building Authority Debt Financing
 - ii. 2015 A General Revenue Pledge Bond
 - iii. Quasi and Glasgow Admin Fee
- (d) Recommendation to approve selection of architect/engineer for
 - i. Scott House Renovation
 - ii. West Hospital Eighth Floor Renovation
 - iii. West Main Street Parking Deck Restoration
 - iv. MCV Campus Steam Line Installation
- (e) Amendments to Six-Year Plan for:
 - i. MCV Campus Steam Line Installation
 - ii. Engineering School including Project Plans
 - iii. Energy Performance

- (f) Recommendation to approve Procurement Procedures
 - i. Construction Management Risk
 - ii. Design-Build Construction Procurement

6. VCU'S SIX-YEAR PLAN

Action Item: Approval of Resolution for Six-Year Plan

Dr. Gail Hackett, Provost and Vice President for Academic Affairs; Dr. Marsha Rappley, Vice President for Health Sciences and CEO, VCU Health System; Ms. Karol Kain Gray, Vice President for Finance and Budget; Dr. Meredith Weiss, Vice President for Administration

7. NEW STRATEGIC PLAN UPDATE

Dr. Gail Hackett, Vice President for Academic Affairs; Dr. Marsha Rappley, Vice President for Health Sciences and CEO, VCU Health System

8. ACADEMIC AND HEALTH AFFAIRS COMMITTEE

Report to the Board of Visitors

Dr. Carol S. Shapiro, Chair

9. AUDIT, INTEGRITY AND COMPLIANCE COMMITTEE REPORT

Report to the Board of Visitors

Mr. Keith Parker, Chair

Action Items:

- a. Recommendation to approve Audit and Compliance Services Charter
- b. Recommendation to approve Committee Goals for FY 2018

10. GOVERNANCE AND COMPENSATION COMMITTEE REPORT

Report to the Board of Visitors

Mr. John A. Luke, Jr., Chair

Action Items:

Approval of Governance and Compensation Charter

11. UNIVERSITY RESOURCES COMMITTEE REPORT

Rev. Tyrone Nelson, *Vice Chair*

Report to the Board of Visitors

12. CLOSED SESSION

Ms. Phoebe Hall, *Rector*

Freedom of Information Act Sections 2.2-3711 (A) (1), (2), (3), (8), (10), (23) and (29) specifically:

- a. Faculty Appointments and Changes in Status and Other Personnel Actions
- b. Special Awards – Honorary Degree and Edward A. Wayne Medal recipients
- c. Closed session report from the Audit, Integrity and Compliance Committee
- d. Closed session report from University Resources Committee
 - i. Funds Eligible for Naming
 - ii. Funds Eligible for Naming under \$50,000
- e. Closed session report from the Finance, Budget and Investment Committee

Dr. Michael Rao, *President*

Dr. Michael Rao, *President*

Mr. Keith Parker, *Chair*

Rev. Tyrone Nelson, *Vice Chair*

Executive Session

- f. Closed session report from Governance and Compensation Committee
 - i. Presidential Compensation Review
 - ii. Review of President’s performance goals for 2017-2018
- g. Compensation Review – Vice President for Health Sciences and CEO of VCUHS

Mr. William M. Ginther, *Chair*

Mr. John A. Luke, Jr., *Chair*

Dr. Michael Rao, *President*

13. RETURN TO OPEN SESSION AND CERTIFICATION

Ms. Phoebe Hall, *Rector*

Action Item:

Approval of items discussed in closed session, if any

14. OTHER BUSINESS

Ms. Phoebe Hall, *Rector*

15. ADJOURNMENT

Ms. Phoebe Hall, *Rector*



VCU

**BOARD OF VISITORS
12:45 P.M.
MAY 12, 2017
JAMES CABELL LIBRARY
901 PARK AVENUE, ROOM 311, RICHMOND, VIRGINIA**

MINUTES

DRAFT

BOARD MEMBERS PRESENT

Mr. John A. Luke Jr., Rector,
Ms. Phoebe Hall, Vice Rector
Dr. Carol Shapiro, Secretary
Mr. H. Benson Dendy III
Mr. William M. Ginther
Dr. Robert Holsworth
Ms. Colette W. McEachin
Mr. Ron McFarlane
Reverend Tyrone E. Nelson
Mr. Keith Parker
Hon. John W. Snow
Ms. Jacquelyn Stone
Dr. Shantaram Talegaonkar
Mr. G. Richard Wagoner, Jr.
Mr. Steve L. Worley

BOARD MEMBERS ABSENT

Mr. Alexander B. McMurtrie, Jr.

OTHERS PRESENT

President Michael Rao
Mr. Jacob Belue, Esq. - University Counsels Office
Ms. Michele N. Schumacher, J.D., Board Liaison
VCU students, faculty and staff
Members of the Media

CALL TO ORDER

Mr. John A. Luke, Jr., Rector called the meeting to order at 1:07 p.m. in the James Cabell Library, 901 Park Avenue, Richmond, Virginia.

APPROVAL OF THE AGENDA

Mr. Luke asked for a motion to approve the Agenda as published. After a motion duly made a seconded, the Agenda as published was unanimously approved.

APPROVAL OF MINUTES

Mr. Luke asked for a motion to approve the minutes of the March 22, 2017, and April 6, 2017 Board of Visitors Meetings and the April 6, 2017 Joint meeting of the VCU Board of Visitors and the VCU Health System Authority Board of Directors. After motion duly made and seconded the Minutes of the March 22, 2017, and April 6, 2017 Board of Visitors Meetings and the April 6, 2017 Joint meeting of the VCU Board of Visitors and the VCU Health System Authority Board of Directors were unanimously approved. A copy of the minutes can be found on the VCU website at the following webpage <http://www.president.vcu.edu/board/minutes.html>.

PRESIDENT'S REPORT

President Michael Rao provided an oral report on activities and accomplishments at the University since March 2017 Board of Visitors meeting, which included an update on the university's strategic initiatives, specifically, the budget redesign and the human resources redesign projects, the comprehensive Make It Real capital campaign, the VCU Health System Vision by Design initiative, and the VCU Investment Management Company (VCIMCO). He noted that all the strategic initiatives will enable VCU to strategically deploy its resources to support strategic priorities.

President Rao also recognized those Board members who are completing their four-year terms, Rev. Tyone Nelson, Hon. John Snow, Mr. G. Richard Wagoner, and Mr. Steve Worley; as well as the student representatives, Mr. Alan Booth, and Ms. Elizabeth Winslow, the faculty representative, Ms. June Nicholson, and the staff representative, Ms. Sania Marcoccia, whose terms expire at the end of June.

DIVERSITY AND INCLUSION STRATEGIC ACTION PLAN PRESENTATION

Dr. Rosalyn Hobson Hargraves, Associate Vice President for Inclusive Excellence, provided the Board with an update on the 2017-2022 Diversity and Inclusion Strategic Action Plan ("Plan"), together with a summary of the plan and the Plan. She noted that the Board is being asked to improve the Plan at this time. A copy of Ms. Hargraves presentation together with a summary of the Plan is attached hereto as ***Attachments A and B*** and are made a part hereof.

Mr. Luke asked for a motion to approve the 2017-2022 Diversity and Inclusion Strategic Action Plan. After a second, the Plan was unanimously adopted. A copy of the Diversity and Inclusion Strategic Action Plan is attached hereto as ***Attachment C*** and is made a part hereof.

HUMAN RESOURCES REDESIGN PRESENTATION

Ms. Susan Carkeek, Senior Advisor to the President, provided an update on the university's Human Resources Redesign. A copy of Ms. Carkeek's presentation and a summary of the Human Resources Redesign are attached hereto as ***Attachments D and E*** and are made a part hereof.

REPORT OF THE ACADEMIC AND HEALTH AFFIARS COMMITTEE

Dr. Carol S. Shapiro, Chair of the Academic and Health Affairs Committee, provided the committee report and noted that the Committee heard the following reports and updates:

- An update from Dr. Gail Hackett, Provost and Vice President for Academic Affairs, on the Committee's dashboard, and an update on iCubed, the Institute for Inclusion, Inquiry and Innovation. It was noted that iCubed over a six month period recruited and hired 19 distinctive and diverse new faculty members and post-graduate researchers who will be working within interdisciplinary core teams throughout the university;
- Dr. Hackett also provided a report to help clarify Purdue University's tuition freeze for instate undergraduates. She reviewed the variables that are needed for such a program to succeed which include a high out-of-state and international student enrollment, many highly ranked academic programs, and a sizeable endowment.
- Dr. Charles Klink, Vice Provost for Student Affairs provided an update on the most recent Student Climate Survey, and noted that the results indicate that our students recognize a strong institutional commitment to diversity and feel a sense of belonging and respect; the Diversity and Inclusion Strategic Plan, steps to promote respect and civility on campus, and real world experience;
- A strategic planning update from Dr. Hackett and Dr. Marsha D. Rapley, Vice President for Health Sciences and CEO of the VCU Health System, that noted there was great participation internally in town hall meetings and that there are five active work groups focusing on overarching themes and goals. It was also noted the full Board would receive an update in the fall;
- Dr. Hackett and Dr. Deborah Noble-Triplett provided an update on the real world initiative explaining that the official name is REAL, which is an acronym for Relevant Experiential and Applied Learning. REAL represents the university's commitment to having all undergraduate students participate in experiential learning as part of their education, which can be achieved through the classroom or through external opportunities. It was explained that the steering committee has focused on ensuring that this program builds upon the programs that already exist for many students at the university;
- Dr. Frank Macrina, Vice President for Research and Innovation, Dr. Garrett Westlake, Executive Director of VCU daVinci Center, and Ms. Nicole Monk, Director-VCU Innovation Economy, gave presentation on Venture Creation University that provided insight into the dynamic mechanism within the university through which students and faculty from all academic disciplines at VCU can launch innovative ideas and products into the regional economic ecosystem;
- A report from the faculty representative, Ms. June Nicholson.
- A report from the staff representative, Ms. Sania Marcoccia.
- A report from the student representatives to the Board, Ms. Elizabeth Winslow and Mr. Alan Booth.

Dr. Shapiro noted that there were several action items that required Board approval. She then moved on behalf of the Committee that the Board approve the creation of the two new Ph.D. programs, specifically, Ph.D. in Chemical and Life Sciences Engineering, and a Ph.D. in

Pharmaceutical Engineering, and authorize the President and/or his designee to submit any and all documentation required to obtain approval for these two new Ph.D. programs from State Council on Higher Education for Virginia (SCHEV) and/or the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). After motion made and seconded the motion was unanimously adopted. A summary of the Ph.D. in Chemical and Life Sciences Engineering proposal is attached hereto as **Attachment F** and a summary of the Ph.D. in Pharmaceutical Engineering is attached hereto as **Attachment G** and are made a part hereof.

Dr. Shapiro also moved on behalf of the Committee that the Center for Teaching Excellence be renamed the Center for Teaching and Learning Excellence. After motion made and duly seconded, the Board unanimously approved renaming the Center for Teaching Excellence to the Center for Teaching and Learning Excellence.

REPORT OF THE AUDIT, INTEGRITY AND COMPLIANCE COMMITTEE

Mr. Steve Worley, Chair of the Audit, Integrity and Compliance Committee provided Committee report and noted that the Committee heard the following reports and updates:

- Karen Helderman, Audit Director with the Auditor of Public Accounts discussed the planning, timing, and scope for the FY2017 financial audit.
- Mr. William H. Cole, Executive Director of Audit and Compliance Services, reviewed the current status of the Committees dashboard measures which remained consistent with the prior period.
- Ms. Jacqueline Kniska, University Chief Integrity & Compliance Officer, reviewed the results of the 2017 Integrity and Compliance Culture Survey, which focused on integrity and compliance issues, as well as, awareness of available resources and willingness to report known or suspected misconduct. It was noted that the Culture Survey report included a full analysis of this year's data with benchmarking of data from previous surveys. This year, there was an increase in the number of employees participating and the results showed positive trend in their responses on ethical and compliance issues and university resources.
- Ms. Kathleen Shaw, Associate Vice Provost for Planning, provided an update on the Data and Information Management Council activities, which included a discussion of the progress made by the four task forces, technology infrastructure, and data management strategy.

Mr. Worley also noted that there were three action items that needed Board approval. Mr. Worley explained that the Committee Charter and the Committee meeting planer contained some minor changes, which required Board approval. He also noted that FY2018 Audit Work Plan, as well as, the proposed Ethics and Compliance Program initiatives were also reviewed by the Committee, and requires Board approval as well. Mr. Worley then moved on behalf of the Committee that the Board approve the committee charter and meeting planner, the proposed FY2018 Audit Work Plan and the proposed Ethics and Compliance Program initiatives. After a second duly made, the Board unanimously approved the Committee Charter, the Meeting Planner, the proposed FY2018 Audit Work Plan and the proposed Ethics and Compliance Program initiatives. A copy of the Committee Charter is attached hereto as **Attachment H** and is made a part hereof. A copy of the meeting

planner is attached hereto as **Attachment I** and is made a part hereof. A copy of the FY2018 Audit Work plan is attached hereto as **Attachment J** and is made a part hereof. A copy of the Ethics and Compliance Program initiatives are attached hereto as **Attachment K** and is made a part hereof.

REPORT OF THE FINANCE, BUDGET AND INVESTMENT COMMITTEE

Mr. William M. Ginther, Chair of the Finance, Budget and Investment Committee, provided the Committee report and reported that the Committee received several information items, including:

- Notification of Contract Award in connection with the Allied Health Professions Building;
- Update on the new budget model;
- Treasurer's Report;
- Revenue and Expense Summary as of March 31, 2017;
- VCU Health System and Financial Operations Report as of March 31, 2017;
- Capital Projects Update; and
- Dashboard Update.

Mr. Ginther also reported that the Committee had three action items that required Board action. He noted that the first item was the Proposed 2017-18 Tuition and Fees and University Budget Plan. He noted that as a follow-up to the Board's April 6 Budget Workshop meeting, the Committee discussed the proposed budget and the associated proposed tuition and fees rates. He stated that the Committee is recommending approval of the budget plan and tuition and fees rates as presented by Ms. Karol Kain Gray, Vice President of Finance and Budget. He introduced Ms. Gray who provided an overview the proposed 2017-20218 Tuition and Fees and the University Budget Plan. A copy of Ms. Gray's presentation is attached hereto as **Attachment L** and is made a part hereof.

Mr. Ginther then moved on behalf of the Committee that the Board approve the 2017-2018 Tuition and Fees and the University Budget Plan as presented by Ms. Gray. After a second being duly made, the Board discussed both the proposed tuition increases as well as the university's budget. After discussion the Board approved the Proposed 2017-2018 Tuition and Fees and the University Budget Plan by a vote of 14 yeas and one nay, with Dr. Holsworth voting no.

Mr. Ginther continued that the next action item was an amendment to the current six year capital plan (i) to increase the budget for the Raleigh Building Renovation by \$845,758 to the budget due to unforeseen conditions encountered during construction; and (ii) amend the University's 2016-2022 Six-Year Capital Plan to include the renovation of the Scott House at a total cost of \$7,000,000. Mr. Ginther then moved on behalf of the committee that the Board approve an amendment to the current six year capital plan (i) to increase the budget for the Raleigh Building Renovation by \$845,758 to the budget due to unforeseen conditions encountered during construction; and (ii) amend the University's 2016-2022 Six-Year Capital Plan to include the renovation of the Scott House at a total cost of \$7,000,000. After a second duly made, the motion was unanimously adopted and the amendments to the six-year capital plan were approved.

Mr. Ginther stated that the final item was approval of the university's 2018-2024 Six Year Capital Plan. He informed the Board that Dr. Meredith Weiss, Vice President of Administration, reviewed

the university's capital outlay priorities for the next three bienniums and noted that the projects are segregated into those requesting state funding support and those funded with University funds. He continued that the projects will be reviewed and revised, as necessary, in 2019 based on the new academic strategic plan and the new master site plan. Mr. Ginther moved on behalf of the Committee that the Board approve the university's 2018-2024 Six Year Capital Plan. After a second, the motion was unanimously adopted and the university's 2018-2024 Six Year Capital Plan was approved.

REPORT OF THE GOVERNANCE AND COMPENSATION COMMITTEE

Ms. Phoebe P. Hall, Chair of the Governance and Compensation Committee, provided the Committee report and noted that Ms. Michele N. Schumacher, the new Board Liaison and Assistant to the President, updated the Committee on the Committee's 2016-2017 Dashboard, including the status of the Bylaws review. Ms. Hall also reported that Ms. Schumacher also provided the Committee with revised copies of the Committees' Charter, Meeting Planner and Dashboard. She noted that the Committee will vote on same at the September 2017 meeting.

REPORT OF THE UNIVERSITY RESOURCES COMMITTEE

Mr. G. Richard Wagoner, Jr., Chair of the University Resources Committee, provided the Committee report and noted that the Committee heard the following reports and updates:

- **Government Relations**

Mr. Matthew Conrad, Executive Director of Government Relations, and Ms. Karah Gunther, Executive Director of Government Relations – Health System, provided an update on the American Health Care Act and the ongoing federal outreach regarding the Act. They also provided an update on the Governor's budget amendments and informed the Committee that the amendments included general funds to support stabilization and renovation of the Scott House. The funds were approved unanimously by the General Assembly during the April 5 Reconvened Session. They also noted that the university will host members of Mayor Levar Stoney's Administration in a first-ever joint summit with university leadership to discuss opportunities for collaboration

- **University Relations**

Ms. Pamela Lepley, Vice President for University Relations provided a summary of communications highlights since the March 2017 meeting. She noted that National and regional media coverage was on track toward a target goal of more than 21,000 hits and 48 billion impressions; paid media impressions were also on track to deliver the full 106 million impressions for the Make It Real recruitment and comprehensive campaigns. Ms. Lepley also informed the Committee that University Relations is continuing to develop an implementation of the next phases of strategic communications plans to support the university's current and new strategic plans, HR and budget redesigns, university and health system strategic master site and facilities plans, and university and health system executive communications.

- **Development and Alumni Relations**

Mr. Ed Grier, Interim Vice President of Development and Alumni Relations, and Mr. Chris Ritrievi, Senior Associate Vice President for Campaign Leadership and Constituency

Relations, provided a summary of fundraising activities, specifically noting that (i) the Make-it-Real Campaign has raised \$489.4 million toward the \$750 million goal with approximately 84,467 donors; (ii) for FY2017 new gifts and pledges were at \$62.4 million, with 27,764 donors; (iii) alumni giving is at 5.7% and membership in the alumni association is at 10,453. It was noted that the number of alumni making new gifts is up 16% over this time last year. Mr. Grier also reported that the search for the new Vice President for Development and Alumni Relations is well underway and several candidates have already been to campus.

CLOSED SESSION

Mr. Luke moved that the Virginia Commonwealth University Board of Visitors convene into closed session pursuant to Sections 2.2-3711 (A) (1), (2), (3), and (8), specifically, of the Virginia Freedom of Information Act for the for the discussion of personnel matters, more specifically relating the appointment of the faculty and staff representatives and to the performance evaluation of the President of Virginia Commonwealth University and various faculty members, and the evaluation of performance of certain departments of Virginia Commonwealth University which will require performance evaluations of specific individuals in those departments; the appointment of the student representatives that involve the disclosure of information contained in a scholastic record; the acquisition of real property for a public purpose, or of the disposition of publicly held real property, where discussion in an open meeting would adversely affect the bargaining position or negotiating strategy of the university; and for the discussion of gifts, bequests, and fund-raising activities of Virginia Commonwealth University, namely the Named Funds and Spaces Report, and the Approved Named Funds under \$50,000 Report;

The Rector asked that members of the Cabinet, Ms. Burke, Mr. Cole, Ms. Gentius, Ms. Schumacher and Mr. Belue remain for the closed session.

RECONVENED SESSION

Following the closed session, the public was invited to return to the meeting. Mr. Luke called the meeting to order. On motion duly made and seconded, the following resolution of certification was approved by a roll call vote:

Resolution of Certification

BE IT RESOLVED, that the Board of Visitors of Virginia Commonwealth University certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements under this chapter were discussed in the closed meeting to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion by which the closed session was convened were heard, discussed or considered by the Board.

Vote

Ayes

Nays

Mr. John A. Luke, Jr., Rector

X

Ms. Phoebe B. Hall, Vice Rector	X
Dr. Carol S. Shapiro, Secretary	X
Mr. H. Benson Dendy III	X
Ms. William M. Ginther	X
Dr. Robert D. Holsworth	X
Ms. Colette McEachin	X
Mr. Ron McFarlane	X
Rev. Tyrone Nelson	X
Mr. Keith Parker	X
Hon. John W. Snow	X
Ms. Jacquelyn E. Stone	X
Dr. Shantaram Talegaonkar	X
Mr. Steve L. Worley	X

Mr. G. Richard Wagoner, Jr. left the meeting during the closed session. All remaining members present responding affirmatively, the resolution of certification was unanimously adopted.

After the closed session Mr. Luke asked for a motion to approve the following items (i) the faculty appointments and changes in status and other personnel actions as detailed in the discussed in closed session; (ii) approved the promotion and tenure recommendations as set forth in the discussed in closed session; (iii) the Named Funds and Spaces Report as discussed in closed session.: After motion made and seconded, the Board unanimously approved (i) the faculty appointments and changes in status and other personnel actions as detailed in the Faculty Appointments and Changes in Status report; (ii) approved the promotion and tenure recommendations as detailed in the Promotion and Tenure Recommendations for 2016-2017 report; and (iii) the Named Funds and Spaces Report as was detailed in closed session.

Mr. Luke also asked for a motion to authorize the President and/or the Vice President of Administration and/or Vice President of Finance and Budget to negotiate, sign and deliver any and all documents necessary to effectuate the purchase of the property as discussed in closed session. After motion made and seconded the Board unanimously approved the motion to authorize the President and/or the Vice President of Administration and/or Vice President of Finance and Budget to negotiate, sign and deliver

Mr. Luke also asked for a motion to authorize the President and/or the Vice President of Administration and/or the Vice President of Finance and Budget to negotiate, sign and deliver any and all documents necessary to enter into the commercial lease agreement on the terms as discussed in closed session. After motion made and seconded the Board approved said motion with a vote of 12 yeas, 0 nays. Mr. William M. Ginther and Ms. Phoebe B. Hall recused themselves from the vote.

Mr. Luke also asked for a motion to delegate to the Athletic Facilities Advisory Group, comprised of Mr. John Luke, Jr., Mr. William Ginther, Mr. H. Benson Dendy III, and Mr. Keith Parker, any and all authority to act in the Board's stead and place between the dates of May 12, 2017 and the next regularly scheduled Board meeting in September 2017 should any action need

to be taken in connection with the property as discussed in closed session. After motion duly made and seconded the Board unanimously approved said motion.

Mr. Luke also asked for a motion to approve the following individuals as the new non-voting members of the board:

- Faculty representative: Holly Price Alford
- Faculty representative - alternate: Scott Street
- Staff representative: Lauren Katchuk
- Staff representative - alternate: Nick Fetzer
- Student representative - graduate: Katherine Pumphrey
- Student representative – undergraduate: Sarah Izabel

ADJOURNMENT

With no further business to come before the Board, Mr. John A. Luke, Jr., Rector adjourned the meeting at 3:48 p.m.



ATTACHMENT A

Diversity and Inclusion Strategic Action Plan

Presentation to the Board of Visitors
Rosalyn Hobson Hargraves, Ph.D.

Associate Vice President, Division for Inclusive Excellence

May 12, 2017



Plan Development

Strategic plan modifications and campus-wide presentations

Climate study analysis

Posted for public comment

President's Forum on Social Justice

Diversity Cafes on both campuses

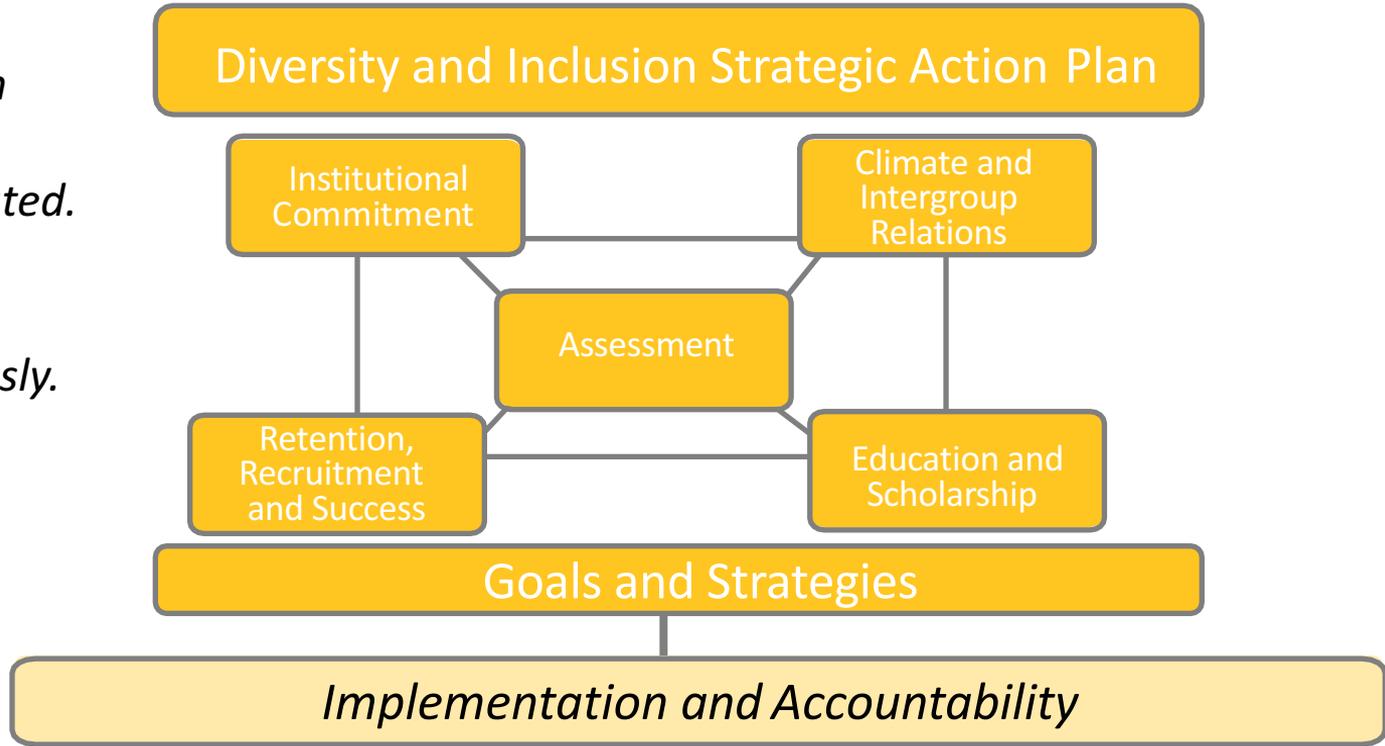
Meetings with stakeholder groups

President's Action Group on Diversity and Inclusion (PAGDI)

Division for Inclusive Excellence strategic plan with CIEE

Diversity and Inclusion Strategic Action

All themes, although written as distinct groups, are interrelated. They influence each other and must be worked simultaneously.



Diversity and Inclusion Strategic Action Plan Goals

- **Institutional Commitment:** Dedicate resources, establish intentional and committed initiatives, and act to advance diversity, inclusion and equity at all institutional levels.
- **Climate and Intergroup Relations:** Create and sustain a welcoming climate of inclusion.
- **Recruitment, Retention and Success:** Intentionally attract and retain a diverse faculty, staff and student body. Implement strategies for enhancing recruitment, retention and success.
- **Education, Scholarship and Research:** Provide rich teaching, learning, research, scholarly, creative and service experiences. Support faculty, staff and student research, scholarship and creative expression.

Progress and Assessment

- Establish and track accountability measures for each theme.
- Establish institutional baseline metrics and identify gaps in the measurement of progress.
- Design and deploy periodic diversity climate surveys and focus groups to assess, monitor, and report on progress.
- Assess and report on progress in achieving targets and communicate findings to the broader university community.

Implementation

- Integration
 - University strategic plan development
 - Working @ VCU: “Great Place” HR Policies
 - Health Equity Plan
- Accountability
 - Responsible units
 - Annual reporting
 - Inclusive Learning Council
 - Council on Inclusive Excellence and Equity

ATTACHMENT B

Item

The University seeks Board of Visitors approval for the Diversity and Inclusion Strategic Action Plan.

Background

The Council for Inclusive Excellence and Equity (CIEE), which includes students, staff and faculty, created the Diversity and Inclusion Strategic Action Plan informed by findings from the 2016 climate surveys, which were distributed to faculty, staff and students; Diversity and Inclusion Cafes; the President's Forums on Social Justice; and numerous meetings, interviews and correspondence with students, faculty, staff, alumni and other constituent groups.

Purpose

The Diversity and Inclusion Strategic Action Plan demonstrates an active, intentional and ongoing institutional commitment to diversity, inclusion and equity through our community building, our curriculum and co-curriculum, and our engagement with communities beyond the university, which are central to the university's mission. The framework to measure progress toward VCU's inclusive excellence ideals has four key themes connected by an assessment process:

- Institutional commitment
 - Provide critically reflective, clear, cohesive and prominent communication to all university stakeholders.
 - Build and sustain infrastructure throughout the University to support teaching, scholarship, creative expression and service.
 - Create and implement a means of measuring, monitoring, and rewarding progress and providing resources.
 - Ensure accountability for the implementation of the Plan at all institutional levels and across all constituencies.
- Campus climate and intergroup relations
 - Create and sustain a climate where all feel welcome and part of a university-wide community.
 - Create and maintain an environment where all feel respected, supported and valued, and have agency and voice.
 - Create and maintain an environment where people of diverse backgrounds share experiences.
 - Ensure that buildings and facilities are welcoming and accessible.
- Recruitment, retention and success
 - Enroll, retain, support and graduate a diverse student body.
 - Attract, recruit, retain, and support a diverse faculty and staff population.
- Education, scholarship and research
 - Increase proactive university support of scholarship and creative expression, addressing diversity and inclusion in disciplinary and interdisciplinary fields.
 - Increase and assess diversity-rich learning experiences that raise students' cultural competency, increase understanding of global diversity, and encourage engagement.
 - Develop comprehensive resources for faculty learning, emphasizing inclusive teaching practices that foster communication, collaboration, and relationship building.

This Diversity and Inclusion Strategic Action Plan, in conjunction with Quest for Distinction, the Affirmative Action Plan and the Health Equity Strategic Plan, will guide our intentional and deliberate actions over the next five years, with a mid-term assessment in 2019 and annual progress reports in the interim to assess the university's progress in meeting the goals set forth in this plan.

Recommendation

Full board approval.

2017 – 2022

Diversity and Inclusion Strategic Action Plan and Report to the University (Draft)

Submitted By:
Members of the Council for Inclusive Excellence and Equity



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Executive Summary

Our public urban university is among the most diverse higher education institutions in the commonwealth, measured using key student demographics such as gender, race and ethnicity. That said, we are keenly aware that a diverse student body does not ensure the existence of a welcoming, inclusive and equitable learning and working environment where we honor, respect and engage with differences in our community. That is why an active, intentional and ongoing commitment to diversity, inclusion and equity through our community building, our curriculum and co-curriculum, and our engagement with communities beyond the university is central to the university's mission.

The Council for Inclusive Excellence and Equity (CIEE, or council) was officially established through President Rao's appointment of the 24-member group in August 2015. The council's membership includes students, staff and faculty; spans the various administrative areas of the campus; and is representative of the vice presidents' units. CIEE's charge was to provide broad-based recommendations to the president – through the vice president for inclusive excellence – on issues, policies and practices that affect the university's inclusive excellence work and support for its widely diverse population of students, staff and faculty. The Diversity and Inclusion Strategic Action Plan was created through the CIEE's working committees and steering committee. The plan is informed by findings from the 2016 climate surveys, which were distributed to faculty, staff and students; Diversity and Inclusion Cafes; the president's Social Justice Forums; and numerous meetings, interviews and correspondence with students, faculty, staff, alumni and other constituent groups.

The framework to measure progress toward VCU's inclusive excellence ideals has four key themes connected by an assessment process. These themes provide a guiding structure for the development of an action plan to make excellence inclusive:

- Institutional commitment
- Campus climate and intergroup relations
- Recruitment, retention and success
- Education, scholarship and research

The themes are grounded in national frameworks developed to advance diversity, inclusion and equity in higher education institutions. They are meant to guide rather than dictate the framing of how the university and its various academic and administrative units will define the work they will undertake. Listed below are the strategic goals for each of the thematic areas and the assessment process.

1. Institutional Commitment: Dedicate resources, establish intentional and committed initiatives, and act to advance diversity, inclusion and equity at all institutional levels.

Provide clear, cohesive and comprehensive communication regarding diversity, inclusion and equity to all university stakeholders.

Build and sustain the infrastructure to enhance diversity, inclusion and equity at all levels of the university to support teaching, research, scholarship, creative expression and service.

Provide resource supports for diversity and inclusion initiatives aligned to strengthen our university's academic mission of teaching, research scholarship, creative expression and service.

Ensure accountability for the implementation of the Diversity and Inclusion Strategic Action Plan at all institutional levels and across all constituencies.

2. Climate and Intergroup Relations: Create and sustain a welcoming climate of inclusion where individuals of differing cultural backgrounds, identities, abilities and life experiences are welcomed, valued and supported in their learning, working and living.

Create and sustain a climate where all members of the VCU community from diverse backgrounds feel welcome and part of a university-wide community.

Create and maintain a living, learning and working environment where everyone feels respected, supported and valued, and where everyone has agency and voice.

Create and maintain a living, learning and working environment characterized by respect, support, where people of diverse backgrounds share experiences.

Ensure that the buildings and facilities are welcoming and accessible for all people and cultures, and, where feasible, are arranged to facilitate cross-cultural interaction.

3. Recruitment, Retention and Success: Intentionally attract and retain a diverse faculty, staff and student body, with reflective and deliberate attention to community needs. Implement strategies for enhancing recruitment, retention and success.

Enroll, retain, support and graduate a diverse undergraduate, graduate and professional student body.

Proactively attract, recruit, support and retain a diverse faculty and staff population who have voice and agency in helping to shape the Great Place Culture we seek.

4. Education, Scholarship and Research: Provide rich teaching, learning, research, scholarly, creative and service experiences to prepare all students for global citizenship. Support faculty, staff and student research, scholarship and creative expression that address diversity and inclusion issues in disciplinary and interdisciplinary fields.

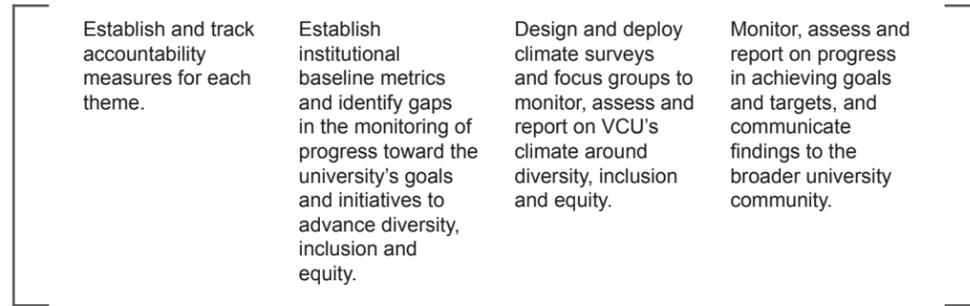
Increase the proactive, ongoing university support of research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens.

Increase and assess diversity-rich learning curricular and co-curricular experiences that raise students' critical self-awareness and cultural competency, increase understanding of global diversity, and encourage engagement in the greater community.

Develop comprehensive resources for faculty to learn, use and evaluate inclusive teaching practices that foster communication, collaboration and relationship building across differences, and support curricular transformations that are reflective of this type of education, research and scholarship.



5. Assessment Process: The assessment process offers an important means to monitor progress toward goals and ensure accountability in the implementation of the Diversity and Inclusion Strategic Action Plan. It serves to inform, support and report on efforts to improve diversity, inclusion and equity among all VCU stakeholders in alignment with the university's mission and strategic goals.



The Diversity and Inclusion Strategic Action Plan, Quest for Distinction, the Affirmative Action Plan and the Health Equity Strategic Plan weave together a comprehensive strategy for inclusive excellence at VCU. Virginia Commonwealth University is at a significant juncture in time, and has the unique opportunity to demonstrate in real, meaningful and impactful ways its institutional commitment to diversity, inclusion, and equity. The focus of that commitment is to build a caring community that appreciates, welcomes and is ready to harness the unique talents and expertise of our widely diverse and dynamic community.

Diversity ... is not casual liberal tolerance of anything not yourself. It is not polite accommodation. Instead, diversity is, in action, the sometimes painful awareness that other people, other races, other voices, other habits of mind have as much integrity of being, as much claim on the world as you do. ... And I urge you, amid all the differences present to the eye and mind, to reach out to create the bond that ... will protect us all. We are all meant to be here together.

– William Merritt Chase

Introduction

As an institution of higher learning, Virginia Commonwealth University (VCU) chooses to be engaged with and respond thoughtfully and intentionally to the social and demographic changes that are transforming our society. To that end, VCU will intentionally integrate its efforts at achieving inclusive excellence into the core aspects of the institution – its academic priorities, leadership, quality improvement initiatives, decision-making, day-to-day operations, community engagement and organizational cultures. Every member of the university community has a stake in VCU's achievement of inclusive excellence. This plan challenges every member of this university community to embrace diversity, inclusion and equity as core values and to coordinate efforts to make excellence through diversity real at VCU.

For VCU, diversity includes characteristics of race, age, color, ethnicity, gender, sexual orientation, gender identity, gender expression, religion, national origin, migratory status, abilities, political affiliation, veteran status and socioeconomic background. It also includes differences in backgrounds, ideas, thought, values and beliefs. In addition, diversity is associated with principles of inclusion and the creation of safe and supportive environments where differences are respected, particularly with regard to historically underrepresented groups and legally protected categories and characteristics by which individuals identify.¹ Virginia Commonwealth University is a microcosm of a global dynamic pluralism.

VCU is capitalizing on opportunities to launch new initiatives that will redouble efforts to achieve greater gains in access, diversity, urban outreach, equity and inclusion. These initiatives allow the university to establish innovative goals, chart new pathways, review current practices, assess progress and celebrate our successes. They support VCU's goal to be recognized as a leader and innovator in diversity, inclusion and equity in higher education – a critical and core priority for a premier public urban research university.

The Diversity and Inclusion Strategic Action Plan, Quest for Distinction, the Affirmative Action Plan, and the Health Equity Strategic Plan weave together a comprehensive strategy for inclusive excellence at VCU. Virginia Commonwealth University is at a significant juncture in time, and has the unique opportunity to demonstrate in real, meaningful and impactful ways its institutional commitment to diversity, inclusion and equity. The focus of that commitment is to build on the foundation of a caring community that appreciates, welcomes and is ready to harness the unique talents and expertise of our widely diverse and dynamic community.

Inclusiveness in higher education² has become a national priority, as seen in the commitments of accrediting agencies such as the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), VCU's accreditation body. In its 2011 diversity position statement, SACSCOC stated, "Diversity is not an abstract concept; rather, it is a true picture of an ever-changing national demographic landscape that reflects every sector of society. Institutions of higher education mirror diversity through their missions, their structures, and their students, faculty and staff."

SACSCOC also recognizes that "diversity in higher education is critical to the social and economic future of this country. Consequently, the commission supports the leadership role of its member institutions in promoting and sustaining diversity in all arenas of higher education."

VCU's 2017–2022 Diversity and Inclusion Strategic Action Plan is an outgrowth of the president's strategic diversity actions, and the university's core value and commitment to create a diverse, equitable and inclusive environment. This also is an extension of VCU's previous diversity plan: 2020 Vision for Excellence Five-Year Diversity Plan. This document

¹ For a glossary of terminology, please see Appendix X.

is intended to lead Virginia Commonwealth University toward its goals of advancing access, diversity and excellence by means of the inclusive excellence model.

This comprehensive long-term diversity, inclusion and equity plan provides overarching institutional guidance for our focused work on strategic priorities. The plan is organized around four themes: institutional commitment; climate and intergroup relations; recruitment, retention, and success; and education, scholarship and research. These themes are connected by an extensive assessment plan.

² Inclusive excellence, a principle that was introduced by the Association of American Colleges and Universities (AAC&U) in 2003, is a comprehensive and well-coordinated set of systematic actions that focus specifically on fostering greater diversity, equity, inclusion and accountability at every level of university life. Institutionally, inclusion is defined as "the active, intentional, and ongoing engagement with diversity – in people, in the curriculum, in the cocurriculum and in communities (intellectual, social, cultural, geographical) with which individuals might connect – in ways that increase one's awareness, content knowledge, cognitive sophistication and empathic understanding of the complex ways individuals interact within systems and institutions." For a glossary of terms, please see Appendix X.

³ Virginia Commonwealth University 2020 Vision for Excellence Five-Year Diversity Plan, approved November 2010.

VCU's Commitment to Inclusive Excellence

Our public urban university is among the most diverse higher education institutions in the commonwealth, measured using key student demographics such as gender, race and ethnicity. Over forty percent of the VCU student body reports as minority race or ethnicity,⁴ and VCU is home to 1,600 international students representing 100 countries.⁵ That said, we are keenly aware that a diverse student body does not ensure the existence of a welcoming, inclusive and equitable learning and working environment where we honor, respect and engage with the differences of others. That is why an active, intentional and ongoing commitment to diversity, inclusion and equity through our community building, our curriculum and co-curriculum, and our engagement with communities beyond the university is central to the university's mission.

VCU's commitment to inclusive excellence is evident in many documents published by various units and leaders throughout the university over the past seven years. The following citations demonstrate that commitment.

On January 28, 2013, the Faculty Senate⁶ endorsed a statement to demonstrate its support for diversity and inclusion, and link the work of diversity and inclusion to the academic mission of VCU:

"The members of the Faculty Senate, which represents the faculty of Virginia Commonwealth University, believe that diversity of views, cultures and experiences are critical to the academic goals of higher education. We believe that the VCU community is stronger due to the diverse backgrounds and experiences that each faculty member brings to the university, and that a diverse faculty contributes to educational quality. VCU serves a diverse student population that benefits from diverse academic perspectives. We believe that the recruitment of a diverse faculty is essential to maintaining the excellence needed to achieve the goals of VCU in becoming the premier public urban research institution and academic institution in the commonwealth."

The VCU Staff Senate is committed to inclusion.⁷ Its senators state:

"Our interests and goals are as diverse as our membership. Senators serve on committees across both campuses alongside representatives from the student body, faculty and administration, where we work toward achieving the goals and initiatives outlined in the university's strategic plan, Quest for Distinction. ... We are open to new ideas and initiatives, which lead to engaged and robust discussion in our meetings. In the spirit of openness and inclusion, our general meetings are open to all VCU staff members and we encourage attendance and participation."

Both VCU's provost and vice president for academic affairs, and VCU's vice president for health sciences, remind the university community that:

"Virginia Commonwealth University is committed to diversity, inclusion and equitable opportunity. In combination with the institution-wide core values, our dedication to this pledge makes VCU a place where people thrive and succeed."

⁴ VCU Office of Planning and Decision Support's Insights (Self-Service Data Analytics for Decision Support), February 2017.

⁵ VCU Office of Planning and Decision Support's International Student Enrollment PDF, February 2016.

⁶ The Faculty Senate represents the faculty in areas of its responsibilities and concerns at VCU. The purpose of the Faculty Senate is the advancement and dissemination of knowledge and professional skills through teaching, study, research, creativity, exhibition, performance, provision of community service and promotion of shared governance.

⁷ The VCU Staff Senate works to facilitate honest and open communication to support staff employee development and resources and build a stronger university community. Staff Senate website: <http://staffsenate.vcu.edu/about-us/>.

In 2012, VCU appointed its first chief diversity officer, Dr. Wanda S. Mitchell, vice president for inclusive excellence, and established the Division for Inclusive Excellence. The Inclusive Excellence website states:

"We are committed to fostering an inclusive community that welcomes and supports those historically excluded or underrepresented in higher education."

VCU intentionally integrates its efforts at achieving inclusive excellence into the core aspects of the institution – its academic priorities, leadership, quality improvement initiatives, decision-making, day-to-day operations and organizational cultures – in order to maximize their success. Diversity is counted among the core commitments within VCU's mission, underlies our ethical standard for respect and is one of the core values and guiding principles of VCU's Quest for Distinction strategic action plan. VCU adheres to a dual focus in its diversity efforts that concentrate on both increasing compositional diversity and creating living, learning and working environments in which students, faculty and staff of all backgrounds can thrive and more effectively pursue the mission of the university because of the assets of diversity and inclusion.

It is our highest and best calling as a public research university to drive innovation, progress and compassion for those who learn here, who teach here, who create here, who heal here – and for the countless lives they will someday touch. The impact of what we do, the ripples we make in the pond, are profound and unbounded. As we have taken our place among the nation’s elite public research universities, we have also positioned ourselves at the intersection of access and excellence in ways that very few others have.

– Michael Rao, President of VCU and VCUHS

Overview of the VCU Diversity and Inclusion Strategic Action Plan

The American Association of Colleges and Universities (AAC&U) calls for higher education to address diversity, inclusion and equity as critical to the well-being of democratic culture. “Making excellence inclusive is thus an active process through which colleges and universities achieve excellence in learning, teaching, student development, institutional functioning, and engagement in local and global communities. The action of making excellence inclusive requires that we uncover inequities in student success, identify effective educational practices, and build such practices organically for sustained institutional change.”⁸

The CIEE was officially established through President Rao’s appointment of the 24-member group in August 2015. The council’s work is to assist VCU in realizing and demonstrating its commitment to diversity and inclusion in significant ways.

The council was launched with a retreat on Friday, October 30, 2015, which included a full working session with nationally recognized diversity and inclusion leader and scholar in higher education Dr. Alma Clayton-Pedersen. The retreat facilitator was Dr. Susan Wilkes, a locally recognized psychologist and leadership development expert. The goals for the retreat were to:

Envision how the council can best support the university’s goal of making excellence inclusive at VCU.

Clarify the role of the council’s goals for their work, related organizational structure and next steps.

The council’s structure included a steering committee consisting of 13 members and five working committees. During the 2016 fiscal year, the steering committee met five times and the full council met four times to finalize the draft of the 2017–2022 Diversity and Inclusion Strategic Action Plan. Committees met with facilitator Tammy Jackson, consultant with the Performance Management Group at VCU, throughout the plan drafting period to develop goals, strategic actions and outcome measures. All members participated in the university’s cultural competence workshops in February 2016 and a culturally based team-building retreat in June 2016.

The Diversity and Inclusion Strategic Action Plan was created through the CIEE’s working committees and steering committee. The plan is informed by the findings from the 2016 climate surveys, which were distributed to faculty, staff and students; Diversity and Inclusion Cafes; the president’s Social Justice Forums; and numerous meetings, interviews and correspondence with alumni, students and other constituent groups. The CIEE is responsible for monitoring, reviewing and The council’s membership includes students, staff and faculty; spans the various administrative areas of the campus; and is representative of the vice presidents’ units assessing the initiatives in this plan to ensure that they lead to institutional and cultural change.

⁸ <https://www.aacu.org/making-excellence-inclusive>

The steps involved for broad university vetting, engagement and endorsement include:

- CIEE Steering Committee Plan drafting and endorsement
- Vetting by university stakeholders
- Posting of plan for public comment
- Review and approval by the President's Action Group on Diversity and Inclusion (PAGDI), the University Council, the president's cabinet, the VCU president and the board of visitors

The framework to measure progress toward VCU's inclusive excellence ideals has four key themes, connected by an extensive assessment approach and reporting process. These themes offer a guiding structure for the development of the university's action plan to make excellence inclusive:

- Institutional commitment
- Campus climate and intergroup relations
- Recruitment, retention and success
- Education, scholarship and research

These themes are meant to serve as a guide rather than an absolute framing of how the university and its various academic and administrative units will define the work they will undertake. The themes and their corresponding initiatives, assessment plans, accountability plans, performance metrics, and measurable goals provide campus leaders with a way to broadly conceptualize and implement diversity work on campus. They also help campus members see how their work and their unit's work relate to institution-level goals for diversity, inclusion and equity. The institutional indicators, in particular, offer a means to measure progress on goals.

Diversity is a hallmark of VCU that truly differentiates us as an institution of higher education.

– Michael Rao, Ph.D., President, VCU and VCU Health System

Themes with Goals, Initiatives, Metrics and Timeframes for Advancing Diversity and Inclusion at VCU

Listed below are the goals, initiatives, measurements, timeframes and assessment plans for the four themes. For those initiatives that do not have identified targets, precise targets will be established during the early implementation stage of the plan.

I. Institutional Commitment: Dedicate resources, establish intentional and committed initiatives, and act to advance diversity, inclusion and equity at all institutional levels.

Goal One: Provide clear, cohesive and comprehensive communication regarding diversity, inclusion and equity to all university stakeholders.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Articulate a clear statement of diversity, inclusion and equity for VCU.	Formal diversity and inclusion strategic action plan adopted and published – 05/2017	Division for Inclusive Excellence (IE)
Incorporate diversity and inclusion goals and initiatives in all of VCU's strategic planning processes (e.g., university's strategic plan) and associated reporting.	Template for incorporating diversity and inclusion goals, strategies and metrics into institutional planning – 08/2017	IE and vice presidents
Develop a communication strategy on diversity and inclusion that encompasses all forms of media and communication formats for both internal and external efforts.	Communication strategy developed – 09/2017	University Relations
Provide access for faculty, staff and students to communicate directly with university leadership for open dialog on topics and issues concerning diversity and inclusion.	Diversity and inclusion communications plan designed and implemented – 08/2017	IE, University Relations
Establish periodic formal updates (written and other media and formats) to inform university community about progress on diversity and inclusion strategic goals.	Diversity and Inclusion Annual Report (narrative and metrics) published – 08/30/2017	IE

Goal Two: Build and sustain the infrastructure to enhance diversity, inclusion and equity at all levels of the university to support teaching, research, scholarship, creative expression and service.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Incorporate into VCU's policy development and review process a method to analyze the impact of individual university policies on diversity and inclusion.	Guidance regarding how to conduct a diversity and inclusion policy analysis. Number of policy certifications that reflect the findings of the analysis.	IE, Integrity and Compliance Office
Assess depth, breadth and availability of resources and services that currently support student, faculty and staff success to ensure that issues and concerns of underrepresented groups are effectively addressed. Make recommendations for enhancing university infrastructure.	Baseline report and recommendations on diversity and inclusion infrastructure (resources and services) – 12/2017	IE, CIEE
Plan and make available cultural competency training to all faculty, staff and students.	Number of cultural competency programs offered; training participation rate by program and overall – 06/30/2018	IE, Student Affairs (SA), Office of Multicultural Student Affairs (OMSA), Office of Faculty Affairs, Human Resources (HR), Equity and Access Service (EAS)

Goal Three: Provide resource supports for diversity and inclusion initiatives aligned to strengthen our university's academic mission of teaching, research, scholarship, creative expression and service.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Establish a clear and regular process for assessing and engaging recommendations of stakeholder groups (task force, councils, advisory committees, etc.) ¹ related to diversity and inclusion.	Process in place to review diversity and inclusion requests and initiatives at the unit level – 06/30/2017	President's office, vice presidents, IE, CIEE
Develop and implement methods to assess need and provide resource supports to achieve the diversity and inclusion goals.		
Integrate diversity and inclusion accomplishments into existing recognition and award programs.	Reported on in unit annual reports	



⁸ E.g., 2016 LGBTQ Task Force Report.

Goal Four: Ensure accountability for the implementation of the Diversity and Inclusion Strategic Action Plan at all institutional levels and across all constituencies.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Identify university, unit and division performance dimensions and establish reporting mechanisms relevant to achieving the goals of the Diversity and Inclusion Strategic Action Plan.	Percentage of unit and division annual reports that include progress on efforts to support inclusion and address diversity and equity (baseline 05/01/2018, and targets – TBD)	IE, president's office, vice presidents, CIEE
Major divisions and departments develop and implement diversity plans consistent with university-wide Diversity and Inclusion Strategic Action Plan.	Percentage of major divisions have plans in place and being implemented by 2018 Items and/or rubrics for assessing performance related to diversity, equity and inclusion are established	IE, CIEE

II. Climate and Intergroup Relations: Create and sustain a welcoming climate for inclusion where individuals of differing cultural backgrounds, identities, abilities and life experiences are welcomed, valued and supported in their learning, working and living.

Goal One: Create and sustain a climate at VCU where all members of the VCU community from diverse backgrounds feel welcome and part of a university-wide community.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Provide consistent onboarding and orientation for all new faculty, staff and students to ensure awareness and understanding of all VCU diversity and inclusion policies, resources and goals.	Review and revise onboarding and orientation materials to ensure consistent information and inform awareness of VCU's diversity and inclusion policies, resources and goals. Communication strategy developed – 07/2018	Office of Faculty Recruitment and Retention (OFRR), HR, Division of Strategic Enrollment Management (SEM), SA
Provide information and support for the development and engagement of alumni affinity groups.	Alumni engagement plan developed and deployed – 09/01/2017	VP Development and Alumni Relations (DAR)
Provide resources and a structure to support networking, engagement and programming relevant to affinity and interest groups within the university community.	Number of events and associated dollars to support affinity groups – 06/30/2017	IE, SA

Goal Two: Create and maintain a living, learning and working environment where everyone feels respected, supported and valued, and where everyone has agency and voice.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Provide professional development and training opportunities that support university commitments and goals targeting success for all students, faculty and staff, ensuring access by all members of the VCU community, and guaranteeing that such trainings are inclusive and culturally relevant in design.	Number of professional development and training opportunities and resources: reported annually 06/30/2017 Available Conducted Attended Evaluated University Climate Survey results – reported on after climate survey administered every 2-3 years	IE, OFRR, HR

Goal Two: Continued..

Develop and maintain a faculty and staff mentoring program to enhance understanding of career advancement processes. Create opportunities to build valuable professional relationships and supportive positive relations among employees.	Office of Faculty Recruitment and Retention–designed and -deployed faculty mentoring program – 09/01/2017 Human Resources redesign to define career paths and job requirements for staff advancement around Diversity and Inclusion professional competencies– 01/01/2018	OFRR, HR
Provide access to resources and information to enhance employee understanding of discrimination and harassment prevention, Americans with Disabilities Act compliance and related topics.	Percentage participation in mandatory Title IX training – 05/01/2017	EAS
Provide ongoing leadership workshops for department chairs and supervisory personnel that focus on department climate, new-generation faculty and staff, campus culture, and the impact of campus culture on the success of faculty and staff from diverse backgrounds.	Redesign and implementation of department chair training – 07/01/2017 Number of participants in department chair training – 09/15/2017 Number of participants in optional Human Resources managerial training focused on diversity, inclusion and related topics – 06/30/2017	VP Faculty Affairs, HR
Provide support for faculty and staff participation in professional development and volunteer opportunities that have a diversity and inclusion component or focus.		VP Faculty Affairs, HR, IE

Goal Three: Create and maintain a living, learning and working environment where people of diverse backgrounds share experiences.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Sponsor social and cultural activities and events to engage staff, faculty, alumni and students in university-wide collaboration and community building and in supporting awareness of VCU diversity and inclusion resources.		Provost, IE, SA, VP Health Sciences, DAR

Goal Four: Ensure that the buildings and facilities are welcoming and accessible for all people and cultures, and, where feasible, are arranged to facilitate cross-cultural interaction.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Evaluate access issues affecting students, visitors and employees; develop and assess solution options; and develop or make visible initiatives that effectively address specific population access concerns.	Assessment completed – 05/2018	Facilities, IE
Encourage diverse visual and physical representations across the university campuses, including building design, website and media campaigns.	Climate survey administered every 2-3 years – 04/30/2018	IE, Office of Planning and Decision Support (OPDS)

III. Recruitment, Retention and Success: Intentionally attract and retain a diverse faculty, staff and student body, with reflective attention to community needs. Implement strategies for enhancing recruitment, retention and success.

Goal One: Enroll, retain, support and graduate a diverse undergraduate, graduate and professional student body.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Recruit and enroll a diverse and representative population in all VCU academic programs.	Undergraduate, graduate and professional enrollment demographic data ²	SEM Graduate school
	Undergraduate and graduate recruitment efforts include outreach to diverse student populations	OPDS (data analytics) Schools and academic units Division for Health Sciences Diversity
	Schools and divisions document good faith efforts to help ensure proper outreach, and modify if necessary	
	Target 2017–2018: TBD	
	Recruitment efforts reflect outreach efforts to diverse student populations	
Recruit and enroll a diverse and representative population in all VCU academic programs.	In addition to university-established goals and metrics, schools and colleges determine their unique recruitment and retention goals with regard to diversity based on available baseline data	SEM Graduate school OPDS (data analytics) Schools and academic units
	Annual reporting beginning with the 2017–2018 academic year	Division for Health Sciences Diversity
Achieve successful outcomes among diverse populations as measured by graduation rates and post-graduation outcomes. ³	Measurement: Student demographic information on graduation rates: Focused monitoring of data tracking undergraduate 4- to 6-year graduation rates for diverse populations (graduation rates and retention rates available for students, by academic program, by self-reported identities ⁴)	SEM OPDS (data for graduation and retention rates, and analytics for all students) SA (post-graduation destination information on employment through the Career Center) working with OPDS
	Graduate, professional student completion rates for diverse populations (completion rates available for students, by academic program)	Division for Health Sciences Diversity – post-graduation destination of health sciences graduate and professional students

² Demographic data included race/ethnicity, nationality, gender, Pell eligible, socioeconomic, disability status, first generation, religion (if available), sexual orientation (if available), regional identity.

³ To assist in successful outcomes, programs such as mentoring and proactive advising should be implemented and results monitored.

⁴ Student may report on race/ethnicity, nationality, gender, sexual orientation, Pell eligible, socioeconomic, disability status, first generation, religion (if available), sexual orientation (if available), regional identity, etc.

Goal One: Continued..

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
	Health Sciences program licensing and examination pass rate	
	Post-graduation destination results for diverse populations: Implement data collection procedures and record systems that include the systematic tracking of post-graduation destination results for undergraduate, graduate and professional students	
	Goals and Metrics: TBD	
	Licensing and examination pass rates for health sciences programs at established targets (see this link for more info: http://sacs.vcu.edu/student-achievement/)	
	Timeframe: Annual reporting of graduation rates, licensing and examination pass rates, and post-graduation destination results	
Advance university efforts to provide financial aid, scholarship assistance and assistantship assistance to students with financial need (socioeconomic, Pell eligible, etc.).	Measurements: Demographic data on financial aid, scholarship and assistantship recipients in all programs (data available by academic program, race/ethnicity, gender)	SEM and OPDS
	Goals and Metrics: TBD	
	Timeframe: Annual reporting on demographic data for all financial aid, scholarship and assistantship recipients in all programs, beginning with 2017–2018 academic year (baseline 2016–2017, and targets – TBD)	

Goal One: Continued..

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Develop and strengthen student mentoring, advising, and other academic and non-academic support programs (ensuring and supporting access by underrepresented and at-risk students) through continuous improvement and sharing of best practices to departments.	<p>Measurement: NSSE, Noel Levitz, HERI and Office of Student Experience survey results reflecting student satisfaction with and use of academic and non-academic support services</p> <p>Timeframe: NSSE: Triennial (last administration = spring 2014)</p> <p>HERI (Survey of Diverse Learning Environments): Annual (last administration = spring 2016)</p> <p>Noel Levitz Student Satisfaction Inventory: Triennial (last administration = fall 2015)</p> <p>Noel Levitz Adult Student Priorities Survey: Triennial (last administration = fall 2015)</p> <p>Office of Student Experience: Biannual (last administration = fall 2015)</p> <p>Within three months of receiving survey data, schools, colleges and service units will review survey data, establish action items, identify necessary resources and follow up with a report on progress toward identified action items</p>	<p>Provost, OPDS (administration of NSSE, Noel Levitz and HERI, and analysis)</p> <p>Office of Student Experience, Office of Public Health Sciences, OVPHS</p> <p>Division for Academic Success</p> <p>Division for Health Sciences Diversity, OVPHS</p>

Goal Two: Proactively attract, recruit, support and retain a diverse faculty and staff population.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Provide professional development and leadership advancement opportunities and support for career progression for faculty and staff from all groups, ensuring access to members and populations traditionally underrepresented in their fields.	<p>Measurement: Documented efforts to encourage participation in professional development and leadership advancement opportunities for all employees</p> <p>Identified resources at the school and administrative level to support professional development and leadership advancement</p> <p>Goals and Metrics: <i>NOTE: Establish baseline and then determine goals/metrics</i></p> <p>Timeframe: 2017–2018: Annual reporting on school-and administrative-level efforts to encourage participation in professional development and leadership advancement opportunities for all employees</p>	<p>OFRR</p> <p>iCubed</p> <p>HR</p> <p>Faculty Senate</p> <p>Staff Senate</p> <p>IE</p>
Support faculty and staff in the continued development of scholarship, research, creative expression and service that expand an inclusive knowledge base.	<p>Measurement: Evidence of programs that support faculty and staff in the development of scholarship, research, creative expression and service that engage in the work of inclusion and diversity</p> <p>Goals and Metrics: Percentage of participants engaged in the development of scholarship, research, creative expression and service that engage the work of inclusion and diversity <i>NOTE: Establish baseline and then determine goals/metrics</i></p> <p>Timeframe: 2017–2018: Annual reporting of scholarship, research, creative expression and service through the publication of such work, websites, social media efforts and other outlets, and percentage of participants engaged in these activities</p>	<p>Division for Community Engagement</p> <p>HR</p> <p>IE</p> <p>iCubed</p> <p>Schools and colleges, Faculty Affairs, OPDS</p>

Goal Two: Continued..

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Review current reward and recognition guidelines and processes to support appropriate review of inclusive research, teaching and service activities within tenure, promotion and annual performance evaluation.	<p>Measurement: Number of schools and departments that recognize diversity and inclusion contributions in the Promotion & Tenure (P&T) policies (baseline fall 2016, and targets – TBD)</p> <p>Goals and Metrics: 100% of schools and departments recognize diversity and inclusion contributions in their P&T policies and their annual performance evaluations for all employees</p> <p>Timeframe: Annual reporting on school and department progress toward this goal.</p>	<p>Office of the Provost, Faculty Affairs (P&T criteria)</p> <p>Faculty Senate</p> <p>Staff Senate</p> <p>HR</p> <p>Schools and academic units</p>
Provide professional development and leadership advancement opportunities for faculty and staff.	<p>Measurement: Faculty Affairs–designed, -deployed and -evaluated faculty professional development workshops and initiatives – 09/01/2017</p> <p>Human Resources redesign to define career paths and job requirements for staff advancement – 01/01/2018</p> <p>Goals and Metrics: Percentage of faculty and staff participating in training and workshops <i>NOTE: Establish baseline and then determine goals and metrics</i></p> <p>Timeframe: 2017–2018: Faculty Affairs and implementation of professional development workshops and initiatives</p> <p>January 2018: Human Resources redesign project implementation</p>	<p>Faculty Affairs</p> <p>HR</p> <p>Schools and divisions (individual professional development and school- and division-level training included)</p>
Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.	<p>Measurement: Faculty Affairs–designed, -deployed and -evaluated faculty mentoring program and professional development workshops and initiatives – 09/01/2017</p>	<p>Office of Research and Innovation (research development services)</p> <p>Schools and colleges</p> <p>Center on Health Disparities</p> <p>Faculty Affairs</p> <p>OFRR</p>

Goal Two: Continued..

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.	<p>Goal and Metrics: Percentage of junior faculty engaged in mentoring and/or professional development <i>NOTE: Establish baseline and then determine goals and metrics</i></p> <p>Timeframe: 2017–2018: Programs are implemented and junior faculty are enrolled</p>	iCubed
Report annually on comprehensive hiring, retention, promotion and attrition demographic data. ⁵ Ensure appropriate accountability in the development of candidate pools that are reflective of the diversity of the profession.	<p>Measurement: Annual reporting of demographic data on faculty and staff, searches, hiring, promotion, retention and attrition – 10/30/2017</p> <p>Development of toolkit and training to educate search committees and hiring managers on inclusive hiring practices – fall 2018</p> <p>Number of persons completing training and departments represented</p> <p>Goal and Metrics: Candidate pools consistently reflect the diversity of the profession</p> <p>Percentage of trained search committee members and hiring managers familiar with inclusive hiring practices <i>NOTE: Establish baseline and then determine goals and metrics</i></p> <p>Percentage of people completing training from each school and department <i>NOTE: Establish baseline and then determine goals and metrics</i></p> <p>Timeframe: Fall 2017: Training on inclusive hiring processes offered</p> <p>October 2017: Annual reporting of diversity data on faculty and staff searches</p> <p>Fall 2018: Development of toolkit and training on inclusive recruitment practices⁶</p>	<p>HR</p> <p>OPDS</p> <p>OFRR</p> <p>Schools and departments</p> <p>EAS</p>

⁵ Demographic data included race/ethnicity, nationality, gender, disability status, sexual orientation (if available), rank, position type.

⁶ This initiative must align with current legal precedent under affirmative action rules.

Goal Two: Continued..

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Support and fund the hiring of faculty with expertise in disciplines and studies that address and expand the scholarship, knowledge base and creative products relevant to diverse populations, cultures, beliefs and social identities.	Measurement: Regular reporting of scholarship of new faculty hired	iCubed
	Goals and Metrics: Percentage of new faculty hired who have expertise in disciplines and studies that address and expand the scholarship, knowledge base and creative products relevant to diverse populations, cultures, beliefs and social identities. <i>NOTE: Establish baseline and then determine goals and metrics</i>	OFRR
	Timeframe: 2017–2018: Annual reporting	Schools and departments

IV. Education, Scholarship and Research: Provide rich teaching, learning, research, scholarly, creative and service experiences to prepare all students for global citizenship. Support faculty, staff and student research, scholarship and creative expression that address diversity and inclusion issues in disciplinary and interdisciplinary fields.

Goal One: Increase the proactive, ongoing university support for research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those research initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Provide institutional support and infrastructure to incentivize research and collaborative scholarship that support the success of diverse populations on campus, in Richmond and beyond.	Numbers and the amount of funds associated internal grants awarded for research addressing diversity and inclusion related scholarship – reported on annually	Office of Research and Innovation, IE
	Number of faculty development seminars or workshops focused on increasing knowledge and skills about conducting inclusive scholarship include participation rates and assessment	Schools and colleges
Provide faculty development seminars and workshops each semester to develop research strategies and methods to increase skills and knowledge about conducting inclusive scholarship.		University Relations, IE

Goal Two: Increase and assess diversity-rich learning experiences that raise students' critical self-awareness and cultural competency, increase understanding of global diversity and encourage engagement in the greater community.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Identify, explore and support the development of a wider range of curricular programs and course offerings on diversity and inclusion.	Institutional and departmental support (dollars, course release time, etc.) for diversity and inclusion curricular and course development and evaluation (baseline 2016–2017, and targets – TBD)	Academic Affairs, IE, CTLE
Provide support to faculty and programs for the development, implementation and evaluation of courses and academic programs related to diversity and inclusion.		
Explore opportunities for integrating diversity and inclusion learning experiences through global education, study abroad and service learning.		GEO and Division of Community Engagement
Ensure new diversity and inclusion initiatives are integrated with the design and implementation of VCU's real-world experience initiatives and the university's commitment to experiential learning for all students.	Number and percentage of students engaged in experiential and diverse learning opportunities (baseline 2016–2017, and targets – TBD)	Academic Affairs
Increase student exposure to and inclusion in faculty scholarly and research activities related to diversity and inclusion.	Current percentages from nine diversity items on the NSSE (baseline 2016–2017, and targets – TBD)	Academic Affairs, OPDS for NSSE data

Goal Three: Develop comprehensive resources for faculty to learn, use and evaluate inclusive teaching practices that foster communication, collaboration and relationship building across differences, and support curricular transformations that are reflective of this type of education, research and scholarship.

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Expand new faculty orientation and onboarding to include ongoing sessions throughout the first year that feature topics on diversity and inclusion in the classroom and present inclusive classroom strategies that engage all students in discussions.	Number and perceive benefit of diversity- and inclusion-related session included in new faculty orientation and onboarding (baseline 2017-2018, and targets – TBD)	OFRR

Goal Three: Continued..

<u>Initiatives and Actions</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Provide a series of faculty development seminars and workshops each semester to focus on creating inclusive classrooms and responding to challenging diversity and inclusion classroom issues.	Number of seminars and workshops offered, and number of participants (baseline fall 2018, targets – TBD)	OFRR
Provide professional development opportunities that support university commitments and goals targeting success for all students, faculty and staff, ensuring access by all members of the VCU community, and guaranteeing such trainings are inclusive and culturally relevant in design.	Number of professional development opportunities and resources: reported annually 06/30/2018 –Available –Conducted –Attended –Evaluated University Climate Survey results – reported on after periodically administered climate surveys	HR OFRR Student Affairs OPDS (for climate study results) OPDS

IV. Assessment Process: The assessment process offers an important means to monitor progress toward goals and ensure accountability in the implementation of the Diversity and Inclusion Strategic Action Plan. It serves to inform, support and report on efforts to improve diversity, inclusion and equity among all VCU stakeholders in alignment with the university's mission and strategic goals.

Goal One: Increase the proactive, ongoing university support for research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those research initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens.

<u>Process</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Establish and implement accountability measures for each theme.	Percentage of major divisions that have plans in place and are being implemented by 2018 ⁷ Items and/or rubrics for assessing performance related to diversity, equity and inclusion are established	Cabinet
Develop a diversity, equity and inclusion dashboard for CIEE review and feedback.	Diversity and inclusion dashboard communicated to all VCU stakeholders – 06/30/2017	OPDS, IE, CIEE
Populate dashboard with baseline data (where available).	Diversity and inclusion dashboard annual results provided – 10/31/2017	
Finalize dashboard and determine distribution schedule.		

⁷ Plans should be developed by major units and reviewed and vetted by the CIEE.

Goal One: Increase the proactive, ongoing university support for research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those research initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens.

<u>Process</u>	<u>Measurement and Timeframe</u>	<u>Responsible Unit/ Process Owner</u>
Design or identify and refine survey instrument(s) and targeted qualitative tools to assess VCU climate for diversity, equity and inclusion.	Climate survey administered biannually – 04/30/2018	OPDS, IE, CIEE
Collaborate on development of communication plan(s) to share survey results with various VCU and external constituencies.	Communications plan(s) designed and survey result disseminated – 01/31/2017	OPDS, IE, CIEE
Support launch of communication plan(s) to share results with various VCU constituencies.		
Assess results of climate survey(s), and identify issues and challenges.	Overall climate satisfaction score for staff (7-point scale) (baseline 2016–2017, and target and gap – TBD) Percentage of students who report a positive experience at VCU (baseline 2016–2017, and target and gap – TBD)	OPDS, IE
Solicit feedback from key constituencies to inform action plan(s).	Regular meetings with constituency groups to inform of progress and solicit input on action plans – 01/31/2017	IE
Coordinate with CIEE committees to track progress against action plans.	Number of CIEE meetings Diversity and inclusion dashboard annual results provided – 10/31/2017	OPDS, IE, CIEE



Next Steps and Concluding Reflections

Feedback on the strategic priorities received at each stage of vetting will be incorporated and reviewed by the CIEE. The CIEE will, parallel to the vetting process, provide a preliminary implementation design, to include the development of a plan and process for integration into the university's upcoming strategic planning process and the work on the university's human resources transformation (Great Place Initiative). In addition, CIEE will develop a draft template and process for the integration of the diversity and inclusion plan and strategies into the work and planning processes of individual units. This will include explicit articulation of individuals and units responsible for specific action and strategies, as well as measurement strategies, timelines and necessary resources.

Virginia Commonwealth University is at a significant juncture in time, and has the unique opportunity to demonstrate in real, meaningful and impactful ways its institutional value and commitment to diversity for building a caring community that appreciates, welcomes and is ready to harness the unique talents and expertise of our widely diverse and dynamic community.

VCU has been active in addressing its recognized limitations and impediments to achieving a widely diverse and inclusive community. Much work remains to be done; it is evident that the university community must continue to champion, support and provide leadership and funding to promote a more inclusive community that advances all aspects of diversity and inclusion throughout the university structure. This Diversity and Inclusion Strategic Action Plan, in conjunction with Quest for Distinction, the Affirmative Action Plan and the Health Equity Strategic Plan, will guide our intentional and deliberate actions over the next five years, with a mid-term assessment in 2018 and annual progress reports in the interim to assess the university's progress in meeting the goals set forth in this plan.



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This plan would not be possible without the members of the Council for Inclusive Excellence and Equity:

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Marianne Baernholdt, Ph.D.

Director, Langston Center for Quality, Safety and
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Leslie Brown

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Historical Sketch

Progress of Diversity at VCU

1838: VCU is founded with the opening of the medical department of Hampden-Sydney College in Richmond which became VCU Medical School.

1867: MCV, City of Richmond, and Freedman's Bureau open an outpatient clinic for the "sick poor," both white and colored.

1861: VCU hospital opens during the American Civil War, becoming home to the Confederate army; it is the only school left with the distinction.

1917: VCU admits women to its dentist, medicine and pharmacy programs to meet needs for more medical professionals during World War I.

1920: St. Philip School of Nursing is founded to train African American women. It exists as a separate institution within MCV, and trains 600 African American women before closing in 1962.

1927: The School of Social Work admits its first male students.

1951: Jean Harris enrolls at MCV, becoming the first African American at VCU – before the Brown v. Board of Education integrates public schools.

1967: A small interracial group of students at the Richmond Professional Institute (RPI) holds a series of meetings to address race relations and develop an African American studies program. The African American Studies Committee successfully creates two for-credit courses in African American studies at VCU in 1969.

1967: Grace E. Harris becomes one of three of RPI's first hired African American faculty. She later becomes dean of the School of Social Work in 1982; provost in 1993; and acting president from April–June 1998, when former President Eugene E. Trani leaves for research purposes. She is the only African American woman to have a building at VCU named after her.

1970: The Black Education Association, or BEA, is formed, a community of scholars committed to advancing institutional equity and diversity through education, research and administrative efforts.

1970: The Eta Tau chapter of Delta Sigma Theta becomes the first historically black Greek letter organization to charter at VCU.

1970: Jim Elam becomes the first African American president of student government. He campaigns on inclusion for the entire study body and more minority professors. Elam uses his platform to establish an Afro-Studies program.

1976: A federal appeals court orders VCU to recognize the Gay Alliance of Students as a campus organization.

1988: The Office of Multicultural Student Affairs (OMSA) is founded in response to intense lobbying from African American students who were underserved and underrepresented. In 1996, OMSA drafts a proposal for broader scope of role and activities on campus, and shifts



to inclusiveness. In 2006, OMSA expands to include LGBTQ students.

1993: The Presidential Awards for Community Multicultural Enrichment is established to recognize contributions and efforts made toward enhancing the goals of inclusive excellence and VCU's commitment to diversity and inclusion.

1998: VCU School of the Arts in Qatar is established.

1998: Safe Zones are created to reduce homophobia and heterosexism on the VCU campus.

2003: The School of Government and Public Affairs is named after L. Douglas Wilder. Wilder served as Virginia state senator from 1969 to 1985, and later as Virginia's 66th governor – the nation's first elected African American governor.

2003: The State Council for Higher Education in Virginia (SCHEV) approves VCU's African American Studies (AFAM) as a Bachelor of Arts program. As of 2015, the program currently has over 100 AFAM majors.

2005: The University Equity and Diversity Committee is established and chaired by Dr. Beverly Warren.

2007: Dr. M. Njeri Jackson is appointed special assistant to the provost for promoting diversity.

2012: Equality VCU is established as a collaborative, advisory and advocacy body representing the aspirations and concerns of the lesbian, gay, bisexual, trans*, queer, questioning, intersex/DSD and asexual peoples and their allies (LGBTQQIAA) affiliated with the university.

May 2012: Lavender Graduation is established at VCU as a special graduation ceremony that honors the achievements of graduating gender and sexual minority students on campus.

September 2012: Dr. Wanda Mitchell is appointed as vice president for diversity and equity, VCU's chief diversity officer.

July 2015: The Council for Inclusive Excellence and Equity is established to monitor, review and assess VCU's diversity, equity and inclusive excellence initiatives, and to develop the new Diversity and Inclusion Strategic Action Plan.

July 2015: The Institute for Inclusion, Inquiry and Innovation (iCubed) is established to promote diversity and inclusion through a strategic investment in academic programs and institutes, focusing on the welfare of urban populations.

October 2015: Gender-neutral and accessible restroom facilities are implemented on the Monroe Park Campus in the Academic Learning Commons, University Student Commons and James Branch Cabell Library.

November 2015: The President's Action Group on Diversity and Inclusion is a five-member group that works in consultation with the president's cabinet and the university's senior leadership to actualize the institution's commitment to diversity, equity and inclusion.

November 11, 2015: Group of students rally at the Compass to support African-American students at the University of Missouri who are protesting discrimination.

November 12, 2015: A group of Black VCU student activists demonstrate a sequence of peaceful protests, including a sit-in at President's Rao's office, to demand an increase of Black professors and faculty.

November 19, 2015: A two-hour-long Presidential Forum on Diversity and Inclusion is held to address concerns that have arisen over hiring and retaining Black faculty; the need for improved communication about current efforts; cultural competency and respect in the classroom; support of staff diversity; and financial support for OMSA and the Division for Inclusive Excellence.

December 2015: The university renews its commitment to creating a more inclusive culture through the president's call to action for change with the senior leadership team.

January and February 2016: Members of the president's cabinet and senior leadership team (including deans, vice provosts and associate vice presidents) participate in cultural competence workshops, which will be ongoing.

May 3, 2016: The new Inclusive Excellence website is launched, enhancing diversity and inclusion communication efforts.

October 13, 2016: The President's Forum on Social Justice is held with three two-hour sessions throughout the day to identify and discuss issues of equity, diversity and inclusion. More than 600 students, faculty, staff and alumni attend the sessions.



Glossary

Key Concepts

Access: The recruitment and retention of members of traditionally underrepresented groups. Access for all can be achieved only by intentional and deliberate action – utilizing policies, procedures and resources to increase hiring and admission of a widely diverse faculty, staff, administration and student body.

Accountability: Predetermined level of expectations that individuals, units and/or institutions are responsible for attaining.

Assessment: The act of making a judgment and/or the act of evaluating information to monitor and measure progress of institutional commitment to diversity and inclusion and make impactful decisions when necessary.

Campus diversity: A learning community that is enriched by persons of different races, genders, ethnicities, nationalities, economic backgrounds, ages, abilities, sexual orientations, gender identities or expressions, marital statuses, languages, veteran statuses and religious beliefs, because intellectual thought and participation in a diverse educational community enriches students' education and enhances their ability to participate in a rapidly evolving, multicultural nation.

Climate: The practices, principles and values of the working, living, and learning environment of an organization, as it is perceived by members of the organization.

Diversity: At VCU, diversity encompasses differences and similarities by such characteristics as race, age, color, ethnicity, gender, sexual orientation, gender identity, gender expression, religion, national origin, disability status, political affiliation, veteran status and socioeconomic background. It also includes differences in backgrounds, ideas, thought, values and beliefs. Diversity is also associated with principles of inclusion and the creation of safe and supportive environments where differences are respected, particularly with regard to historically underrepresented groups and legally protected categories to which individuals may belong.

Education, scholarship and research: Provide rich teaching, learning, and research and service experiences to prepare all students for global citizenship; and support faculty, staff and student research that addresses diversity and inclusion issues in disciplinary and interdisciplinary fields.

Equity: The fair and just allocation of resources, opportunity and treatment aimed at success for every member of the university community.

Inclusive excellence: A comprehensive and well-coordinated set of systematic actions that focus specifically on fostering greater diversity, equity, inclusion and accountability at every level of university life.

Inclusion: The active, intentional and ongoing engagement with diversity – in people, in the curriculum, in the co-curriculum, and in communities (intellectual, social, cultural, geographical) with which individuals might connect – in ways that increase one's awareness, content knowledge, cognitive sophistication and empathic understanding of the complex ways individuals interact within systems and institutions.

Institutional commitment: Leadership establishes direction and commitment through mission, values, goals, and strategies, which combined define the behaviors and actions that are expected from all members of the institution. While institutional commitment begins with leadership, it is realized through the adoption and implementation by the members across the institution.

Recruitment and retention: Institutional efforts to increase diversity of students, faculty, staff and administrators at the university, with the goal of increasing the presence of diverse faculty and staff at all ranks, levels and pay bands. An important key is maintaining a student body reflective of the diversity of college bound students in the commonwealth of Virginia by ensuring a climate that offers access, opportunity and support for the success of all students.

Success: Performance or achievement that is marked by accomplishment of goals and expectations.

HR Redesign Project

ATTACHMENT D

Using authority granted under Tier III restructuring to align VCU's human capital with the University's mission, core values, and strategic direction to hire and keep highly qualified talent in a very competitive market by being a Great Place to Work.

PROGRAMATIC

Respond to the employee feedback from the Great Place Initiative survey and the University's needs to modernize HR practices

- Career and professional development, mentoring and networking
- Career advancement, promotional opportunities, and career paths
- Meaningful performance evaluation, reward and recognition
- Leadership development
- Market and merit based pay/Leave/Benefit

STRATEGIC

Align the University's workforce with its strategic priorities and build connections to strengthen the University community

- Cascade goals and shared values from organization to school/unit to individual; create "line of sight" connecting employees to University vision and mission; align competencies and behaviors; provide meaningful feedback; reward and recognize through pay for performance
- Create "career communities" across the University bringing together practitioners to share knowledge, promote innovation, increase competence, enhance networking, mentoring, and leadership opportunities

Great Place to Work where faculty and staff can do meaningful work, a place of opportunity, where success is supported and careers thrive.

Start up
3/1/16-
3/30/16

Research and Design
4/1/16-2/28/17

University Review
3/1/17-
4/31/17

Board Report
May 2017

Finalize Policies and Procedures
6/1/17-
12/31/17

Enroll
1/1/18-
3/31/18

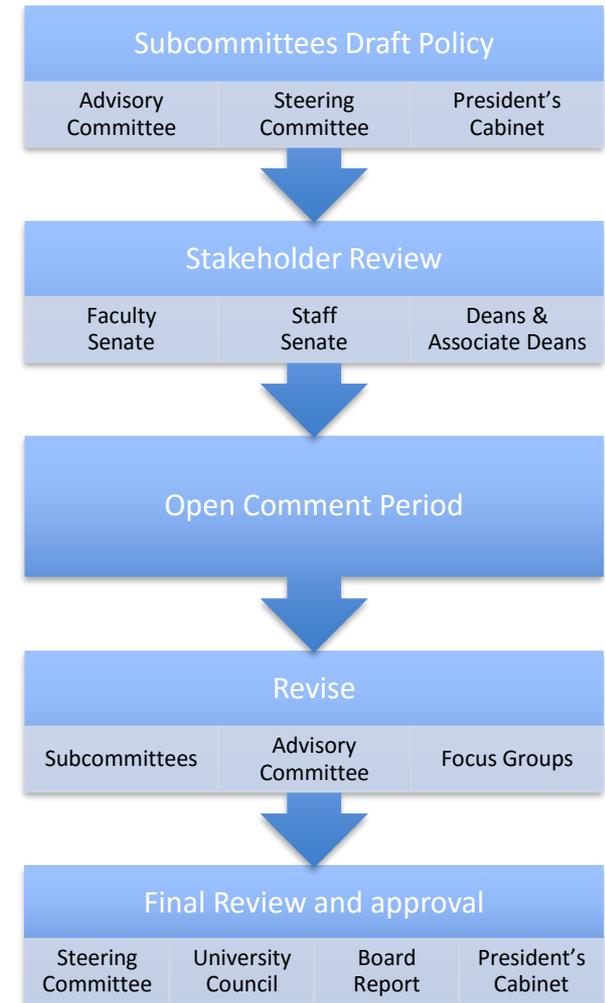
Review
Revise
Refine
4/1/18-

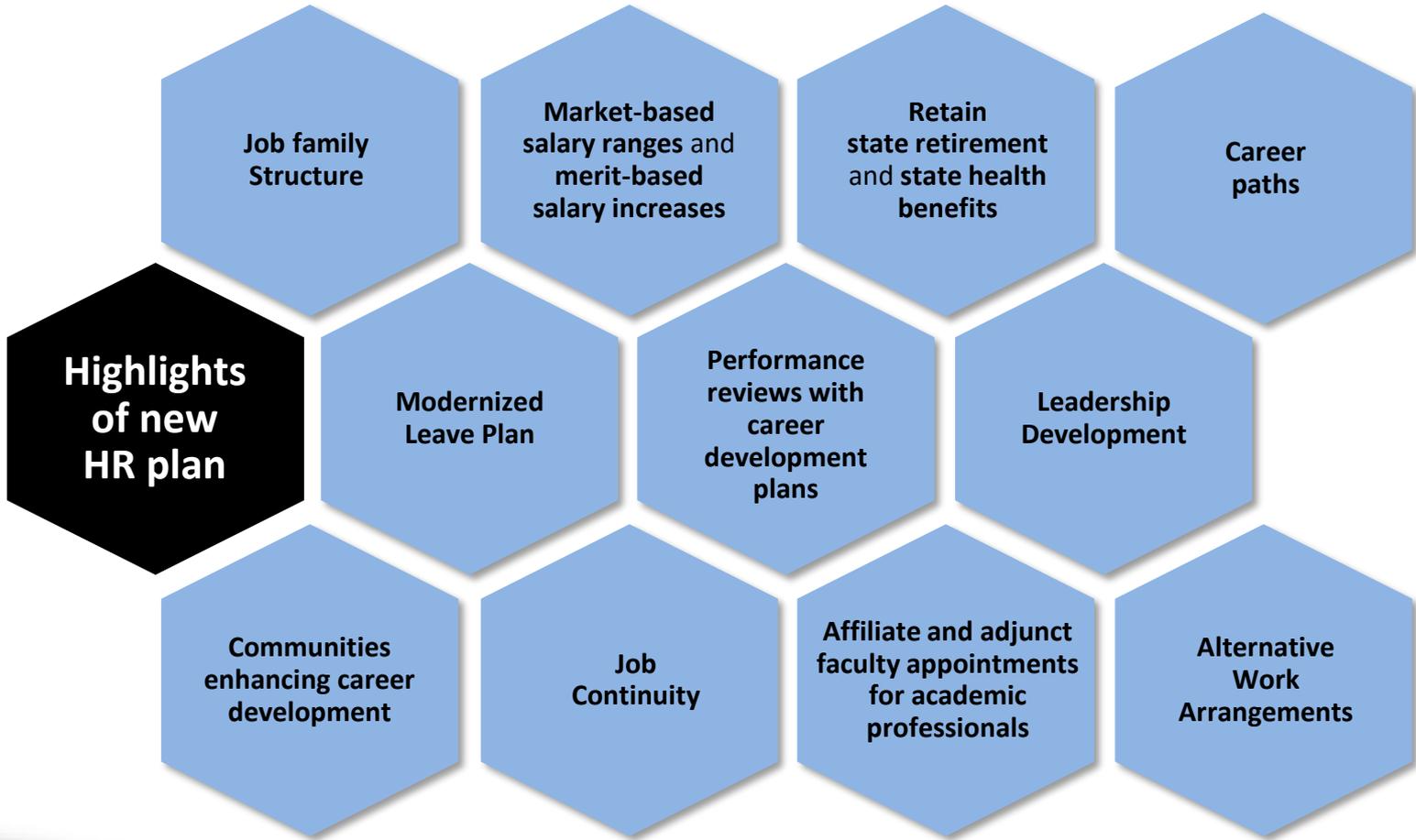
Plan, Communicate, Engage 4/1/16-3/31/18

Open Comment Period

- Feb 17 to March 17, 2017
- 5,742 sessions on web (48% new)
- 320 submissions; 889 comments
- 96 FAQs; 80 w/emails plus 76 questions in comments

- Of 889 comments:
 - 655 (74%) Acknowledged
- Of remaining 234:
 - 190 (81%) Agreed
 - 44 (19%) Disagreed





Implementation

May	Finalize policy
May to Oct	Develop procedures, resources, training Review and allocate positions
Aug to Nov	Implement performance management and LMS software
Jan 1, 2018	Effective date for July 1, 2016+ hires Notify continuing employees
Jan to Mar 2018	Classified staff enrollment period Reconsideration period for position allocation
July 1, 2018	A&P Faculty and Classified staff conversions



VCU

the
Great Place
HR REDESIGN

ATTACHMENT E

HR Redesign Summary Report

May 2017

Background

When VCU conducted its Great Place Initiative survey in 2013, faculty and staff overwhelmingly indicated the need to improve many aspects of our human resources system. Over the years, VCU has taken steps to address some of these needs. However, to truly be more responsive to the needs of our employees, we must modernize our human resources practices for classified staff and administrative and professional (A&P) faculty in a comprehensive way. By being a great place to work – a place where faculty and staff can do meaningful work, a place of opportunity, where success is supported and careers thrive – VCU will be better able to hire and keep talented individuals who provide the highest quality service to students, patients, and our community.

A Brief History

VCU has the authority to restructure its HR plan under the state's 2005 Restructured Higher Education Financial and Administrative Operations Act. We know that our employees value their benefits, so throughout this process we considered how to keep what works and update the rest. Our peer universities in Virginia (Virginia Tech, the College of William & Mary, and the University of Virginia) have already successfully transitioned to new HR plans under the Restructuring Act.

Policy overview

More than 100 employees from across VCU, serving on nine HR Redesign committees, researched best practices from other universities and large employers to draft a policy to govern VCU's new HR plan. The draft policy primarily impacts 2,718 classified staff members and 868 A&P faculty employees at VCU. The proposed HR policy specifically modifies

- **Employee Groups:** A new employee category, University and Academic Professionals.
- **Employment:** Streamlined recruitment process to promote hiring a diverse and highly qualified workforce. It also adopts a one-year probationary period for all newly hired University and Academic Professionals.
- **Compensation:** A new job family structure with flexible career paths for advancement opportunities, market-based salary ranges and merit-based pay.
- **Performance management:** A standardized process with more meaningful feedback that connects employee goals, contributions and career interests with VCU's strategic priorities creating a direct line of sight to the university mission and vision.
- **Career development:** Access to a range of learning opportunities supporting the need for all employees to stay current in their field, develop their capabilities, increase competencies and prepare for career advancement.
- **Leadership development:** Defines critical competencies for effective leaders at VCU and creates a leadership development curriculum to nurture and develop these competencies through a series of learning, networking, and mentoring experiences.
- **Employee Relations:** Encourages informal dispute resolution with clear direction for when a formal process is needed; integrates performance management and progressive discipline for corrective actions and provides layoff and severance benefits during workforce reduction.

- **Alternative Work Arrangements:** Expands alternative work options to promote better work/life balance and provides resources to educate and encourage utilization.
- **Paid Leave:** Provides a competitive, flexible paid time off benefit with more modern definitions and family-friendly improvements to parental and caregiving leave and enhanced short term disability and community service leave.

Feedback

A draft of the new HR policy was posted for university-wide review and comment from February 17, 2017 to March 17, 2017. During this time, we received 5,472 visits to the website (48% of which was new traffic), 96 questions and a total of 889 comments. The HR Redesign project team responded to each submission to provide answers to questions or assure them their feedback would be considered during revisions to the policy. Some employees submitted comments anonymously, in which case we posted their questions and our answers to the website FAQ page. Faculty and Staff Senates, the Dean's Council, the Associate Dean's Forum, and several focus groups also reviewed and provided input on the draft policy.

Next steps

All comments and questions have been reviewed by HR Redesign committees and considered for final changes to the policy. University Council will review in May before a report is made to the board of visitors. Upon final policy approval by the President's Cabinet, VCU Human Resources will develop procedures, guidelines, training and other resources to ensure the policy is managed as intended.

Implementation

January 1, 2018 is the planned effective date of the new HR policy.

Automatic enrollment for new classified staff

Classified staff hired at VCU since July 1, 2016 automatically convert to the University and Academic Professional employee group on the January 1, 2018. After January 1, 2018, VCU will no longer hire classified staff.

The option to stay classified staff

Classified staff hired before July 1, 2016 will have a choice to remain classified staff, or elect to convert to the University and Academic Professional employee group. There will be a 90-day enrollment period from January to March 2018 for employees to decide. Employees will be provided a side-by-side comparison of the current and new policies along with other support resources to assist them in making this decision. VCU is required by the Restructuring Act to provide an enrollment option to classified staff at least every two years. The effective date for those who elect to switch during the enrollment period is July 1, 2018.

Options for A&P faculty

VCU will no longer hire Administrative & Professional Faculty (A&P) after July 1, 2018. Current A&P faculty positions will be evaluated to determine how best to categorize individual employees in the new HR plan. A&P Faculty will be notified in their next contract cycle (July 2017 for most) of upcoming changes and will have a reconsideration process if they disagree with their position allocation.

Through the HR best practices reflected in the new HR policy, VCU is better positioned to connect employees with the university's mission, vision, and core values creating a more vibrant learning and scholarly community – a great place to work – that will attract and retain highly qualified talent in a very competitive market.

ATTACHMENT F**Virginia Commonwealth University
Board of Visitors
Academic and Health Affairs Committee
Proposed Program Brief****Proposal to create a new Ph.D. in Chemical and Life Science Engineering****Overview**

The VCU School of Engineering requests approval to create a Doctor of Philosophy (Ph.D.) degree in Chemical and Life Science Engineering (CIP Code 14.07). The proposed Ph.D. program is designed to

- Meet Virginia's growing private-sector demand for engineers and scientists with doctoral-level training in chemical and life science engineering, and allied fields such as pharmaceutical and chemical processes, materials science and engineering, cellular engineering, and chemical engineering applied to biological systems and biomolecular processes; and
- Meet the national need for engineers and scientists with doctoral-level training in chemical and life science engineering for employment in the academic (future faculty), industrial, and federal government sectors.

The proposed Ph.D. program will train graduates for careers in industry, technical administration, and academia. It will address the growing demand for researchers trained in interdisciplinary science and engineering, who recognize the need for cross-disciplinary approaches to solving complex problems in energy, healthcare, and sustainable manufacturing.

Method of Delivery

The proposed program will be delivered in a traditional, face-to-face modality.

Target Implementation Date

Fall 2018

Demand and Workforce Needs

The primary motivation for the proposed Ph.D. program is the high demand from employers and students for graduate training opportunities. The Virginia Biotechnology Association (VABio) estimates that the biopharmaceutical sector accounts for 11,000 direct jobs, and a payroll of approximately \$1 billion per year.¹ It creates another 25,000 jobs in Virginia indirectly in the companies and professionals in service and support of the sector. Graduates with backgrounds in life science and engineering form a key pipeline for this sector. Studies conducted by both the American Society for Engineering Education and the National Science Foundation reported a shortage of graduate level engineers in the United States. The unemployment rate for graduate level engineers is among the nation's lowest.²

Thus, the regional and nation-wide demand for engineers with advanced degrees is strong and is anticipated to remain strong in the coming years. **Whether in academic research or industry, the discipline-specific degree is expected to enhance the marketability of our graduates and will address a current and future need for chemical and life science engineers.**

External Competition

This unique, forward-looking program does not duplicate any other graduate program in Virginia. In particular, emphasis areas on interdisciplinary pathways such as life science engineering, chemical kinetics and process engineering, materials science engineering coupled with a core training in chemical engineering fundamentals is a truly unique program of its

¹ <https://www.vabio.org/?page=overview>

² NSF 14-317, <http://www.nsf.gov/statistics/infbrief/nsf14317/>

kind, not just in the Commonwealth but nationwide. This degree is therefore distinctive and timely given the projected jobs outlook for the future and the engineering talent pool needs facing the Commonwealth.

Target Population

The target population for the Chemical and Life Science Engineering Ph.D. program is students with a B.S. or M.S. degree in chemical engineering or an allied field such as materials science, petroleum engineering, biochemical engineering and engineering physics. According to the United States Department of Labor, a considerable amount of work-related skill (for example, manufacturing processes, equipment design, analytical equipment), knowledge (principles of chemistry, biology, physics, and mathematics), and experience are needed in chemical engineering and allied fields.³ Sixteen percent (16%) of chemical engineers reported that a master's degree was required for their positions, with 20% of respondents reporting that a doctoral degree was required for their positions.⁴

Impact on Existing Programs

No negative impact is anticipated. In fact, with this stand-alone Ph.D. program, we expect research successes to expand with diverse and talented students and professional researchers to complement our growing academic programs within the School of Engineering.

Impact on Faculty

All faculty in the Department of Chemical and Life Science Engineering faculty have responsibilities for both graduate and undergraduate academic programs, and all department faculty spend portions of their time conducting research and performing service to the school, university and their respective professions. We do not anticipate the need to hire additional faculty for this program.

Funding

Additional funding is not required.

Benefit to the university

This proposed Ph.D. program is consistent with VCU's vision as Virginia's premier urban, public research university. The proposed program will notably advance two of the themes from VCU's strategic plan, Quest for Distinction⁵:

- *Theme II:* Attain preeminence as an urban, public research university by making contributions in research, scholarship, creative expression and clinical practice to advance knowledge and enhance the quality of life.
- *Theme III:* Achieve national recognition as a fully integrated research university with a commitment to human health.

The proposed Ph.D. in Chemical and Life Science Engineering program is consistent with the mission of the university by providing graduate students with learning opportunities for acquiring a broad foundation of engineering knowledge; an in-depth original research experience at the frontiers of the chemical and life sciences; and life-long learning and professional development skills.

Next Steps

With BOV approval, this proposal will be submitted to the State Council of Higher Education in Virginia (SCHEV) for final approval.

Full Proposal

Available upon request.

³ <https://www.onetonline.org/link/summary/17-2041.00> (O*NET OnLine is sponsored by the U.S. Department of Labor)

⁴ Bureau of Labor Statistics, U.S. Department of Labor, *Occupational Outlook Handbook, 2016-17 Edition*, Chemical Engineers, on the Internet at <https://www.bls.gov/ooh/architecture-and-engineering/chemical-engineers.htm> (visited December 12, 2016).

⁵ <http://www.quest.vcu.edu/>

ATTACHMENT G**Virginia Commonwealth University
Board of Visitors
Academic and Health Affairs Committee
Proposed Program Brief****Proposal to create a new Ph.D. in Pharmaceutical Engineering****Overview**

The Schools of Pharmacy and Engineering at Virginia Commonwealth University (VCU) request approval for the establishment and implementation of a new Pharmaceutical Engineering Ph.D. degree. The program is to be jointly administered by the two schools. The purpose of the Ph.D. degree program is to train students in pharmaceutical engineering concepts related to the design, development, manufacture and regulation of pharmaceutical products and devices. It will address the growing need for a new generation of researchers trained in cross-disciplinary and interdisciplinary science and engineering who recognize the need for a team-based approach to solving challenges related to the design and manufacturing of pharmaceutical products. Graduates of the program will be trained to recognize and address challenges in the pharmaceutical, regulatory, entrepreneurial and academic environments.

This first in the nation Ph.D. program in Pharmaceutical Engineering will take a structured approach towards the cross-disciplinary nature inherent to the area, taking into account the needs of the employer base and market opportunities within the region and the Commonwealth of Virginia, and also the expertise existing at VCU. This program is unique and does not exist in the Commonwealth, region or nation. ¹

This program is built on existing partnerships and teamwork among departments, disciplines, and research teams in both schools, as well as reaching out to other departments and schools including chemistry, medicine, the VCU Center for Clinical and Translational Research, and the VCU School of Business. The proposed approach to education and research will uniquely address one of the key issues in the pharmaceutical and related regulatory professions, namely, that the challenges are almost always cross functional in nature, but the traditional education paradigm and training offered to those entering the market today is not. The program aims to break that paradigm via our interdisciplinary approach towards the Ph.D. degree and prepare VCU graduates for excellence in academia, the pharmaceutical and biotech Industry and governmental and regulatory agencies.

Method of Delivery

The proposed program will be delivered in a traditional, face-to-face modality.

Target Implementation Date

Fall 2018

Demand and Workforce Impact

According to a report prepared by the VCU Office of Continuing and Professional Education, *“An advanced demand report through Labor Insight™² reveals that Virginia is number 7 among the Top 15 states in the U.S. in the last 12 months hiring for pharmaceutical engineers³. Labor Insight™ pulled 143 job postings in the last 12 months across the state of Virginia for job titles labeled specifically as pharmaceutical engineering or pharmaceutical engineer. There is a strong concentration of these jobs in the state, with a much higher demand than average. The Washington-Arlington-Alexandria, DC-VA-MD-WV Metropolitan Statistical Area (MSA) was the fifth largest hiring region in the country with 142 postings, and the Richmond, VA Metropolitan Statistical Area (MSA) was tenth with 54 postings over the last 12 months.”*

The program therefore will be targeting an area of hiring where job growth is higher than the national average, and where the proposed Pharmaceutical Engineering Ph.D. can serve as an important catalyst for the region and for the Commonwealth of Virginia, and one that will originate from VCU enhancing our societal impact and visibility.

¹ Several schools have an Engineering Ph.D. with a track in pharmaceutical engineering; however, this would be the first Pharmaceutical Engineering Ph.D. program in the U.S.

² Labor Insight™ | Burning Glass Technologies, October 2016

³ Bureau of Labor Statistics, U.S. Department of Labor on O*NET Online, October 2016

External Competition

There is no similar program, at any degree level, within the Commonwealth of Virginia. This is due to the unique partnership between the School of Pharmacy and School of Engineering to support this plan. Currently there are no such collaborative programs at the Ph.D. level in any other universities outside of Virginia but this potential does exist at several institutions. Teaching, research and industry trends are likely to encourage other schools to embark on such a higher level program. The proposed program has been designed to be distinct from the other related VCU programs. These distinctions include excellence in the key areas of generation and control of active ingredients, drug delivery, nanomedicine and biomaterials, and formulation engineering and sciences.

Target Population

The program will target individuals who wish to pursue an academic or pharmaceutical research career and have an interest in pharmaceutical engineering. Specifically, the program will target:

- Students with an appropriate B.S. degree in relevant subject areas, such as pharmacy, biology, chemistry, mechanical engineering, biomedical engineering, chemical engineering, and materials science.
- Students with an appropriate M.S. degree in relevant subject areas, such as pharmacy, biomedical engineering or chemical engineering
- Doctor of Pharmacy (Pharm. D) graduates who wish to pursue an academic research career

Considering that both the Chemical and Life Science Ph.D. and Pharmaceutical Engineering Ph.D. programs are progressing for SCHEV review, it is important to acknowledge that there will be some overlap in the target populations for these two programs. This is not unexpected given that students will have interest in either program depending on their intended career goals. Other existing Ph.D. programs such as chemistry, and biology also draw from this population. Both the Pharmaceutical Engineering and Chemical and Life Science Ph.D. programs will seek to bring a national and international student population to the state of Virginia and are thus targeting an audience that is much broader than that sampled at VCU.

Impact on Existing Programs

The Pharmaceutical Engineering Ph.D. program will be an interdisciplinary and collaborative program, drawing from the knowledge and research interests of Ph.D. programs in VCU's School of Engineering and School of Pharmacy. The Pharmaceutical Sciences Ph.D. programs in medicinal chemistry and pharmaceuticals are in the School of Pharmacy; the Biomedical Engineering and Mechanical and Nuclear Engineering Ph.D. programs and the proposed Chemical and Life Science Ph.D. in the School of Engineering. The proposed Pharmaceutical Engineering Ph.D. will be the collaboration space where the areas of research and expertise from these Ph.D. programs will be able to work together. Taken together, this collaboration will complete the educational framework to position VCU and the Commonwealth as a leader in education and innovation in the Pharma and Biopharma field.

Impact on Faculty

All faculty will be shared with existing degree programs from the Schools of Engineering and Pharmacy, with home departments being those existing programs, including Pharmaceutics, Chemical and Life Science Engineering, and others.

Funding

Both the Schools of Pharmacy and Engineering will use existing resources to ensure that the program is staffed with appropriately credentialed and experienced faculty. There are ongoing discussions at the university level regarding necessary facilities renovations, didactic equipment and future faculty hires and support staff. These discussions will be managed within the existing institutional budget. Therefore, no new state funds are being requested.

Benefit to the University

This proposed Ph.D. program is an integral part of VCU's mission, vision and core values. The program seeks to promote scholarship and collaborative research among its faculty and students, which will lead to entrepreneurial activities, leadership and innovation in the area of pharmaceuticals and related medical therapies so as to promote human health and bring further distinction to VCU. The program completes and integrates the pharmaceutical education and research workflow along with the related proposed Chemical and Life Science Engineering Ph.D. program and existing programs such as Biomedical Engineering Ph.D., Pharmaceutical Science Ph.D. concentrations, Medicinal Chemistry and Pharmaceutics.

Next Steps

With BOV approval, this proposal will be submitted to the State Council of Higher Education in Virginia (SCHEV) for final approval.

Full Proposal - Available upon request.

ATTACHMENT H

VIRGINIA COMMONWEALTH UNIVERSITY BOARD OF VISITORS

AUDIT, INTEGRITY, AND COMPLIANCE COMMITTEE CHARTER

I. PURPOSE

The primary purpose of the Audit, Integrity, and Compliance Committee is to assist the Board of Visitors in fulfilling its fiduciary responsibilities related to oversight of:

- Soundness of the university's system of internal controls
- Integrity of the university's financial accounting and reporting practices
- Independence and performance of the internal and external audit functions
- Integrity of information technology infrastructure and data governance
- Effectiveness of the university's ethics and compliance program
- ~~Institutional conflict of interest issues~~
- University's enterprise risk management program
- Legal matters

The function of the Audit, Integrity, and Compliance Committee is oversight. University management is responsible for the preparation, presentation, and integrity of the university's financial statements. University management is also responsible for maintaining appropriate financial accounting and reporting policies, procedures, and controls designed to assure compliance with generally accepted accounting principles and applicable laws and regulations. University management is also responsible for effective design, implementation, and operation of information technology infrastructure as well as data management and data governance policies and procedures.

Audit and Management Services, within Audit and Compliance Services, examines and evaluates the adequacy and effectiveness of the university's system of internal controls; examines whether university operations and employee actions are conducted in compliance with relevant policies, procedures, standards, and applicable laws and regulations; and performs management services activities, including advisory services for critical systems development projects, performance of special projects requested by the Board and senior management, and investigation of allegations of fraud or improprieties. The university's external auditor, the state Auditor of Public Accounts, is responsible for planning and conducting the financial statement examination in accordance with generally accepted government auditing standards.

The Integrity and Compliance Office, within Audit and Compliance Services, promotes a culture of ethics and compliance through training, support and guidance; evaluates the adequacy and effectiveness of existing policies, procedures, and compliance programs; administers the University Helpline and maintains other reporting mechanisms available to all employees, and reports information related to the Ethics and Compliance Program effectiveness throughout the year. University management is responsible for establishing and

enforcing policies and procedures and for maintaining appropriate programs to comply with all applicable laws and regulations. The Integrity and Compliance Office is a resource available to all areas of the university.

II. COMPOSITION AND INDEPENDENCE

The Audit, Integrity, and Compliance Committee will be comprised of three or more Visitors. Each member must be free from any financial, family or other material personal relationship that, in the opinion of the Board or Audit, Integrity, and Compliance Committee members, would impair their independence from management and the university.

III. MEETINGS

The Audit, Integrity, and Compliance Committee will meet at least four times annually. Additional meetings may occur more frequently as circumstances warrant. The Committee chairman should meet with the Executive Director of Audit and Compliance Services as necessary and at least prior to each Committee meeting to finalize the meeting agenda and review the issues to be discussed.

IV. RESPONSIBILITIES

In performing its oversight responsibilities, the Audit, Integrity, and Compliance Committee shall:

A. General:

1. Adopt a formal written charter that specifies the Committee's scope of responsibility. The charter should be reviewed annually and updated as necessary.
2. Maintain minutes of meetings.
3. Authorize investigations into any matters within the Audit, Integrity, and Compliance Committee's scope of responsibilities.
4. Report Committee actions to the Board of Visitors with such recommendations as the Committee may deem appropriate.
5. Consistent with state law, the Committee may meet in closed session (without members of senior management present) with the external auditors and/or the Executive Director of Audit and Compliance Services to discuss matters that the Committee or any of these groups believe should be discussed privately.
6. Approve the Audit and Compliance Services charter. The charter should be reviewed annually and updated as necessary.

B. Internal Controls/Financial Statements:

1. Review and evaluate the university's processes for assessing significant risks and exposures.
2. Make inquiries of management and the external auditors concerning the effectiveness of the university's system of internal controls.

3. Determine whether the external auditors are satisfied with the disclosure and content of the financial statements, including the nature and extent of any significant changes in accounting principles.
4. Review management's written responses to significant findings and recommendations of the auditors, including the timetable to correct the weaknesses in the internal control system.
5. Advise management and the external auditors that they are expected to provide a timely analysis of significant financial reporting issues and practices.
6. Monitor the university's conflict of interest policies and related procedures.
7. Require Audit and Compliance Services to perform annual reviews of the President's discretionary accounts and to issue a report thereon to the Committee.

C. External Auditors:

1. Meet with the external auditors and university management to review the scope of the external audit for the current year. The auditors should inform the Audit, Integrity, and Compliance Committee of any significant changes in the original audit plan.
2. Discuss with the external auditors their processes for identifying and responding to key audit and internal control risks.
3. Review the coordination of internal and external audit procedures to promote an effective use of resources and ensure complete and efficient coverage of the university's risks.
4. Meet with the external auditors at the completion of the audit. A portion of the meeting may be conducted in Executive Session without members of university management present.

D. Internal Auditors:

1. Review and approve the annual audit and management services work plan and any significant changes to the plan.
2. Review annually the qualifications of the audit and management services staff and the level of staffing.
3. Assess the effectiveness of the internal audit function, including its independence and reporting relationships.
4. Review completed audit reports and progress reports on executing the approved work plan.
5. Review annually the status of previously issued internal audit findings.
6. Inquire of the Executive Director of Audit and Compliance Services regarding any difficulties encountered in the course of his audits, including any restrictions on the scope of work or access to required information.
7. Review the performance of the Executive Director in consultation with the President and approve the Executive Director's annual salary compensation and bonus, if any.

8. Review and approve the appointment, replacement, reassignment, or dismissal of the Executive Director of Audit and Compliance Services.

E. Data Integrity:

1. Review the adequacy of the university's IT management methodology with regards to internal controls, including applications, systems, and infrastructure. This includes but is not limited to:
 - Physical and virtual security with regards to university servers and storage
 - Network security architecture and operations
 - Reliability and robustness of data center (servers and storage) and network infrastructure environments
 - Disaster recovery and business continuity infrastructure and associated processes and procedures.
2. Review the adequacy of the university's data management policies and procedures to ensure data security and data integrity in institutional reporting. This includes but is not limited to:
 - Authentication and authorization mechanisms in accessing university data
 - Data Governance structure and policies
 - Data security policies

F. University Ethics and Compliance Program:

1. Review the annual compliance planned initiatives and any significant changes to the plan.
2. Review the qualifications of the compliance staff and the level of staffing.
3. Assess the effectiveness of the compliance program, including its independence and reporting relationships.
4. Review completed compliance reports and progress reports on the status of compliance and integrity related initiatives including process and plans in place to assess conflict of interest management (inclusive of institutional and individual conflicts).
5. Require the Integrity and Compliance Office to report on management's processes and procedures that provide assurance that the university's mission, values, ~~and~~ codes of conduct, and universitywide policies are properly communicated to all employees.
6. Review results of compliance reviews to ensure system and controls are designed to reasonably ensure compliance with laws and regulations, university policies and the code of conduct. ~~Review the university's code of conduct annually and direct management to establish a system reasonably designed to reasonably assure compliance with the code.~~
7. Inquire of the Executive Director of Audit and Compliance Services whether there have been any restrictions on the scope of work or access to required information in conducting compliance and ethics reviews.

H. Enterprise Risk Management

1. Provide oversight of the university's Enterprise Risk Management program.
2. Review the university's risk appetite.
3. Require periodic reporting on the overall program's design and effectiveness, including newly identified risks
4. Monitor progress of Risk Mitigation Plans and review policy and resource improvements as necessary.

I. Legal:

1. Consult as necessary with University Counsel regarding legal issues concerning the university.

ATTACHMENT I
Virginia Commonwealth University
Board of Visitors

Audit, Integrity and Compliance Committee Meeting Planner

A = Annually; Q = Quarterly; AN = As Necessary Q1, Q2, Q3, Q4 based on Fiscal Year (July – June)	Frequency			Planned Timing			
	A	Q	AN	Q1 Sep	Q2 Dec	Q3 Mar	Q4 May
A. General							
1. Review and update Audit, Integrity, and Compliance Committee charter and meeting planner	X						X
2a. Approve minutes of previous meeting		X		X	X	X	X
2b. Maintain minutes of meetings		X		X	X	X	X
3. Authorize investigations into any matters within the Committee's scope of responsibilities			X				
4. Report Committee actions to the Board of Visitors with recommendations deemed appropriate		X		X	X	X	X
5. Meet in executive session, with External Auditors and/or Executive Director of Audit and Compliance Services		X		X	X	X	X
6. Review and approve Audit and Compliance Services charter	X			X			
B. Internal Controls/Financial Statements							
1. Review and evaluate university's process for assessing significant risks and exposures	X			X			
2. Make inquiries of management and external auditors concerning the effectiveness of the university's system of internal controls			X	X		X	
3. Determine whether the external auditors are satisfied with the disclosure and content of the financial statements, including the nature and extent of any significant changes in accounting principles	X					X	
4. Review management's written responses to significant findings and recommendations of the auditors, including the timetable to correct the weaknesses in the internal control system			X	X		X	
5. Advise management and the external auditor that they are expected to provide a timely analysis of significant current financial reporting issues and practices			X	X		X	

A = Annually; Q = Quarterly; AN = As Necessary	Frequency			Planned Timing			
Q1, Q2, Q3, Q4 based on Fiscal Year (July – June)	A	Q	A	Q	A	Q	A
				Sep	Dec	Mar	May
6. Monitor the university's conflict of interest policies and related procedures	X				X		
7. Require Audit and Compliance Services to perform annual reviews of the president's discretionary accounts and to issue a report thereon to the Committee			X		X		X
C. External Controls							
1. Meet with external auditors and university management to review the scope of the external audit for the current year	X						X
2. Discuss with the external auditors their processes for identifying and responding to key audit and internal control risks	X						X
3. Review the coordination of internal and external audit procedures to promote an effective use of resources and ensure complete and efficient coverage of the university's risks			X				X
4. Meet with the external auditors at the completion of the audit	X					X	
D. Internal Auditors							
1. Review and approve the annual audit and management services work plan and any significant changes to the plan	X						X
2. Review the qualifications of the audit and management services staff, the adequacy of the staffing level, and the department budget	X			X			
3. Assess the effectiveness of the internal audit function, including its independence and reporting relationships	X			X			
4. Review completed audit reports and progress reports on executing the approved work plan		X		X	X	X	X
5. Review annually the status of previously issued internal audit findings	X			X			
6. Inquire of the Executive Director of Audit and Compliance Services regarding any difficulties encountered in the course of his audits, including any restrictions on the scope of work or access to required information		X		X	X	X	X
7. Review the performance of the Executive Director in consultation with the President and approve the Executive Director's annual salary compensation and bonus, if any.	X			X			
8. Review and approve the appointment, replacement, reassignment, or dismissal of the Executive Director of Audit and Compliance Services			X				

A = Annually; Q = Quarterly; AN = As Necessary	Frequency			Planned Timing			
Q1, Q2, Q3, Q4 based on Fiscal Year (July – June)	A	Q	AN	Q1	Q2	Q3	Q4
				Sep	Dec	Mar	May
E. Data Integrity							
1. Review the adequacy of the university's IT management methodology with regards to internal controls, including applications, systems, and infrastructure. This includes but is not limited to: <ul style="list-style-type: none"> Physical and virtual security with regards to university servers and storage Network security architecture and operations Reliability and robustness of data center (servers and storage) and network infrastructure environments Disaster recovery and business continuity infrastructure and associated processes and procedures 			X	X		X	
2. Review the adequacy of the university's data management policies and procedures to ensure data security and data integrity in institutional reporting. This includes but is not limited to: <ul style="list-style-type: none"> Authentication and authorization mechanisms in accessing university data Data Governance structure and policies Data security policies 			X	X		X	
F. University Ethics and Compliance Program							
1. Review the annual compliance planned initiatives and any significant changes to the plan	X						X
2. Review the qualifications of the compliance staff and the level of staffing (utilization and effort focus)	X			X			
3. Assess the effectiveness of the compliance program, including its independence and reporting relationships	X			X			
4. Review completed compliance reports and progress reports on the status of compliance and integrity related activities initiatives <u>including process and plans in place to assess conflict of interest management (inclusive of institutional and individual conflicts).</u>		X		X	X	X	X
5. Require the Integrity and Compliance Office to report on management's processes and procedures that provide assurance that the university's mission, values, and codes of conduct <u>and universitywide policies</u> are properly communicated to all employees.	X			X			X

A = Annually; Q = Quarterly; AN = As Necessary	Frequency			Planned Timing			
	A	Q	A	Q	A	Q	A
				Sep	Dec	Mar	May
6. <u>Review results of compliance reviews to ensure system and controls are designed to reasonably ensure compliance with laws and regulations, university policies and the code of conduct.</u> Review the university's code of conduct annually and direct management to establish a system reasonably designed to reasonably assure compliance with the code.			X	X	X	X	X
7. Inquire of the Executive Director of Audit and Compliance Services whether there have been any restrictions on the scope of work or access to required information in conducting compliance and ethics reviews		X		X	X	X	X
G. Enterprise Risk Management							
1. Provide oversight of the university's Enterprise Risk Management program		X		X	X	X	X
2. Review the university's risk appetite			X				
3. Require periodic reporting on the overall program's design and effectiveness, including newly identified risks		X		X	X	X	X
4. Monitor progress of Risk Mitigation Plans and review policy and resource improvements as necessary		X		X	X	X	X
H. Legal							
1. Consult as necessary with University Counsel regarding legal issues concerning the university		X		X	X	X	X

ATTACHMENT J

Audit and Compliance Services **Audit and Management Services** **2018 Audit Work Plan Development**

Below are brief descriptions of the materials provided to the Audit, Integrity and Compliance Committee for the purpose of reviewing and approving the university's annual Audit Work Plan.

COSO Internal Control and Enterprise Risk Management (ERM) Frameworks

The Committee of Sponsoring Organizations of the Treadway Commission (COSO) is an industry standard model for assessing risks and internal controls in both the public and private business sectors. The COSO Internal Control Framework cube represents the various business objectives and control components within an organization. The ERM Framework is an expansion of the COSO Cube. It further details the risk management activities including risk event identification, prevention, and response planning. Additionally it depicts a wider array of risks, including compliance, strategic, and reputational risks. During the creation of annual audit work plan, there is coordination between these models to identify areas of risk and potential areas to be audited.

Significant Work Plan Audit Considerations

Audit and Management Services (AMS) maintains a listing of "financial magnitude" that depicts the relative impact of 10 major financial functions areas within the university including significant funding sources, expense drivers, and IT infrastructure. The financial magnitude along with the COSO, ERM and industry risks are evaluated when determining the audits and projects for the annual audit plan.

Three-Year Audit Plan

Audit and Management Services performed an in-depth audit risk assessment in spring 2015, which included extensive analysis of risk factors and interviews with key administrators. From that risk assessment, a three-year audit plan or cycle was developed to provide audit coverage of the most significant risks or units that have a periodic audit requirement. For this final year of the three-year plan, Audit and Management Services updated its scoring of risk factors, considered industry risks, and performed interviews with stakeholders to determine whether operational changes or additional risks have occurred which would result in revisions to the work plan.

Annual Audit Work Plan

The Proposed Audit Work Plan is developed based on the annual risk assessment procedures and discussions with senior management prior to being provided to the AICC committee for review and to the full board of approval.

**Virginia Commonwealth University
University Audit and Management Services
Proposed Audit Plan
July 1, 2017 - June 30, 2018**

RISK-BASED AUDITS:

Graduate Admissions	365	
Institutional Review Board	365	
IACUC (Animal Resources)	365	
HR - Termination Processes	365	
Vice President - Health Sciences Office	385	
Facilities Management - Construction	415	
Controller's Office	365	
Recreational Sports	265	
College Humanities and Sciences Administrative Review (including IT)*	600	
School of Engineering (including IT)*	600	
School of Medicine - Pediatrics**	315	
School of Medicine - Research Administration	315	
Technology Incident Response (moved from 2017)	365	
School of Dentistry Technology (moved from 2017)	340	
Development and Alumni Relations Technology	365	
	<hr/>	
Subtotal		5,790

ANNUAL AUDITS:

Athletics - Year 2 - NCAA Compliance Review	265	
Follow-Ups on Outstanding Audit Recommendations	320	
Prior Year Audit Carry-Over	250	
Review of Selected Accounts	80	
Risk Assessment	465	
	<hr/>	
Subtotal		1,380

OTHER PROJECTS:

Investigations and Management Requests	1,300	
Other Management Services	500	
Data Analytics / Continuous Monitoring	300	
Enterprise Centers and Institutes	365	
IT Security Special Project - Internet of Things (IoT)	265	
Work Paper System Support	175	
	<hr/>	
Subtotal		<hr/> 2,905
TOTAL		<hr/> <hr/> 10,075

* Integrated with IT Audit

** Consolidated with Health System Audit



FY 2018 Ethics and Compliance Program Initiatives

Maintenance of VCU's Ethics and Compliance Program is substantively driven by the Federal Sentencing Commission's Sentencing Guidelines, Chapter 8, which provide the basic and necessary minimum elements of an effective Ethics and Compliance Program; it is also driven by our own mission and values reflected in our Code of Conduct and university policies; excellent business sense; and the needs of the organization. To continue to play an integral role in setting and upholding accountability within VCU's culture and overall risk mitigation processes, the Compliance and Ethics Program provides advisory resources to all departments; reporting mechanisms to all employees, students and visitors; and regularly solicits interactions from a cross section of the university. Based on providing these services, interactions, and projects throughout FY 2017, the initiatives for FY 2018 reflect identified areas and topics wherein a devotion of additional time and attention are necessary to address, or continue, assurance of compliance requirements; ethical behaviors; and overall institutional integrity. Most of the topic below traverse multiple years due to the scope and size of the efforts. Year over year progress is made and any obstacles to these plans are shared with the Audit, Integrity and Compliance Committee of the Board of Visitor's as the university's governing authority.

FY 2018 Initiatives:

Integrity and Compliance Annual Report to BOV Audit and Compliance Committee – September Meeting

- Bolster Annual Issues and Events reporting results – to continue benchmarking internally; look to enhance with external to VCU data for appropriate comparisons
- Assist with development of additional monitoring processes
- Bolster universitywide training endeavors and results

Employee Ethics and Compliance Education

- Execution of fifth cycle Annual Employee Compliance Education – includes documentation of comprehension; re-assess risk based topics based on current environment of need
- Create role based modules for position within organization; explore new employee and continuing employee module options to include: Appropriately Responding to Concerns and Avoiding the Appearance of Retaliation
- Create and execute Ethical Leadership Workshop (details below in Ethics §)
- Execution of high profile events during National Ethics & Compliance Week scheduled for November 5–11, 2017 to include Compliance Partner Open House and National Ethics Expert for universitywide open forum and for targeted leadership group session RE: *Giving Voice to Values*
- Continued participation in New Employee Orientations and New Chair Training / Development

Code of Conduct Enhancements

- Conduct triennial review of document with interdisciplinary taskforce input and Compliance Advisory Committee
- Transfer Ethical Standards (basis of the Code of Conduct) into policy template and elaborate on definitions of standards and codify into formal policy requirements

Conflicts of Interest

- Obtain final approval and implement Institutional and Individual Conflict of Interest policy
 - To include set expectations; required reporting; compliance with required committee review process; and managing of identified conflicts
- Creation of formal Interest Disclosure Review Committee – to include training on expectations outlined in policy's requirements
- Continued service as liaison to Commonwealth for mandated state disclosure
- Continued utilization of structured process addressing interest disclosure reporting by designated individuals
- Continued support in responding to inquiries related to proactive avoidance regarding institutional conflicts and conflicts of commitment

Ethics

- As noted above, sponsoring expert guest speaker to community *Giving Voice to Values* in Fall of 2017
- Implement enhancements to current employee exit interview process – a collaboration with Human Resources
- Continue ethics based education to middle management and supervisory personnel
- Execute ethical education/training/workshop
 - To include implementation of ethical leadership training for pilot group: *A Leader's Guide to Integrity – Uphold the Black and Gold*

Gap and Risk Assessment Activities

- Continue quarterly oversight monitoring for timely compliance reporting through responsible parties outlined in Compliance Calendar: Federal Regulatory Reporting Requirements
- Compliance and Ethics Assessment results of respective areas to Cabinet Members (to include federal regulatory compliance; policy compliance and accuracy; recurring internal audit themes; reported concerns outcomes and trends – with focus on civility and professionalism)
- Begin assessment of compliance with state code; executive orders; and SCHEV requirements
- Risk-based reports to Cabinet and Board Members regarding satisfied or deficient compliance obligations based on Federal Regulatory Grid

Note: These activities will involve a collaborative approach with appropriate Compliance Partners

Monitoring Specifics

- Security and Privacy policy and process review for VCU's covered components within the Affiliated Covered Entity designations

- Compliance with the Clery Act: Continue to provide compliance review of the Annual Security and Fire Report before public issuance
- Safety and Protection of Minors Policy Compliance: Fully execute review of compliance with requirements
- Outside Professional Activities Policy Compliance: Fully execute review of compliance with requirements
- Centers and Institutes Current State Assessment: Fully execute review of operations – in partnership with Internal Audit function

Infrastructure Enhancements for Maximum Efficiency

- Full integration of institutional e-solution for compliance monitoring and issues and events/case management – serves areas currently tracking matters manually and/or in silos for enhanced reporting
- Continue communication avenue of social media presence

Internal Staff Development

- Attendance at national level conferences for all ICO personnel
- 3rd Annual Reflection and Strategy Retreat
- Continued memberships with Society of Corporate Compliance and Ethics; Health Care Compliance Association; Association of College and University Policy Administrators; Open Compliance and Ethics Group; Ethics and Compliance Initiative; and Systems Research and Applications (SRA) International
- Employees supported in maintaining and obtaining professional certification(s) in Compliance and Ethics and participation in all university-offered development opportunities

Policy Program – for all universitywide policies

- Partner with policy owners or area leadership to provide seminal policy reminders and tips for compliance to broader university community
- Continued gap assessment based on size, scope and complexity of university, and industry trends and standards
- Continue creation of universitywide term glossary for clarity and consistency
 - Data related terms and research related terms already created
 - Continue implementing consistent term use from finalized glossary
- Continued support in policy creation, revision and formal approval processes
 - Topics identified as needing additional assistance in the coming fiscal year: Information Technology; Privacy and Data Governance; Procurement; Human Resources; and SACS based required policies for Accreditation
 - To include: bi-annual Policy Writers' Workshop
- Identify and maintain obligations for regulatory policy creation and maintenance as required by the *Code of Virginia*; Executive Orders in Virginia and from the US Government
- Continued centralization and data normalization
- Continued monitoring of timely triennial review and interim status

Continued Participation and Resource Support and Assistance to various ethics and compliance-oriented groups and committees:

- Clery Compliance Workgroup
- Communicators Network
- Sponsorship and Chair duties for Compliance Advisory Committee (CAC)
- Data Information Management Committee; and Steering Committee
- Equal Employment Opportunity Affirmative Action Plan Workgroup
- Employee Performance Subcommittee (under Tier 3 restructure plan)
- Enterprise Risk Management Committee
- Ethics-based consultations; facilitated discussions; and assessments upon request
- Export Controls Committee
- Faculty Search Committees
- Higher Education Opportunity Act - monitoring for compliance requirements
- Internal Workplace Investigations
 - Oversight of Alleged Misconduct Reports / Non-compliance Issues
 - Conduct investigations when suspected patterns or practices of misconduct, non-compliance, or unduly sensitive issues arise
- Learning Management System Implementation Group (under Tier 3 restructure plan)
- Learning Management System Governance Steering Committee (under Tier 3 restructure plan)
- Partnership Assessment Taskforce and Policy Finalization
- Policy Consultations Related to Creation, Revision, and Governance
- Research Administrators Meeting
- Safety Liaison Committee
- Staff Senate – Employee Recognition and Rewards Subcommittee
- State Regulatory Coordinator (liaison to Commonwealth for VCU)
- Title IX Steering Committee
- Continued tracking of Office of Inspector General's Annual Work Plan for topics affecting the university
- Participation in Tabling and Speaking Events on Campus
 - Tech Fair
 - HR Benefits Fair

As a reminder, this committee will be receiving the Integrity and Compliance Annual Report at the September 2017 Meeting. The anticipated effect of providing the fiscal year Annual Compliance Program Initiatives at the May Board Meeting and the Annual Report at the September Meeting is to assure that mechanisms exist to keep this committee abreast of continued compliance efforts demonstrating effectiveness of the Ethics and Compliance Program. This committee is the appropriate authority to best assess the Ethics and Compliance Program's effectiveness. If there are suggestions or recommendations from the committee, please contact the Executive Director of Audit and Compliance Services or the University Integrity and Compliance Officer.

ATTACHMENT L

Proposed 2017-18 Tuition and Fees and University Budget Plan

Karol Kain Gray, VP for Finance and Budget

May 12, 2017



Table of Contents

- **Recommended Tuition and Fees – FY 2018**
- **All Funds FY 2017-2018 Budget**
- **Educational & General Programs**
- **Sponsored Programs**
- **Auxiliary Enterprise Programs**
- **University Funds**
- **Hospital Services**

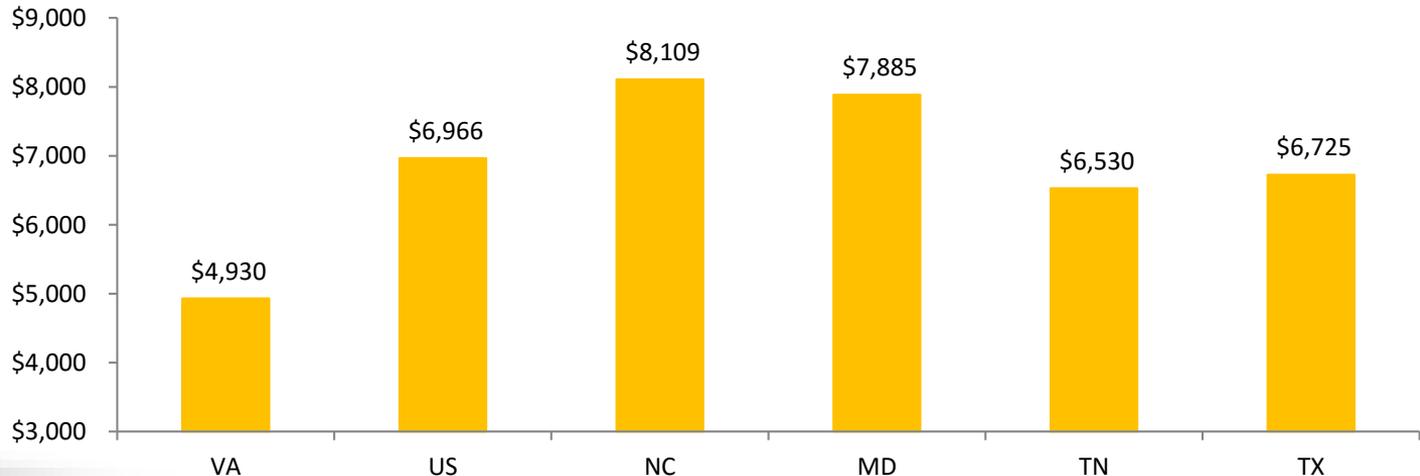
Summary of Recommended Tuition and Fees – FY 2018

(See University Budget Plan FY2018 page III-1)

Virginia's colleges receive low state support

Virginia ranked 44th in state support of higher education in 2015, investing much less per student than the national average and much less than key states with which we compete for talent, investments and new business as well as business rankings.

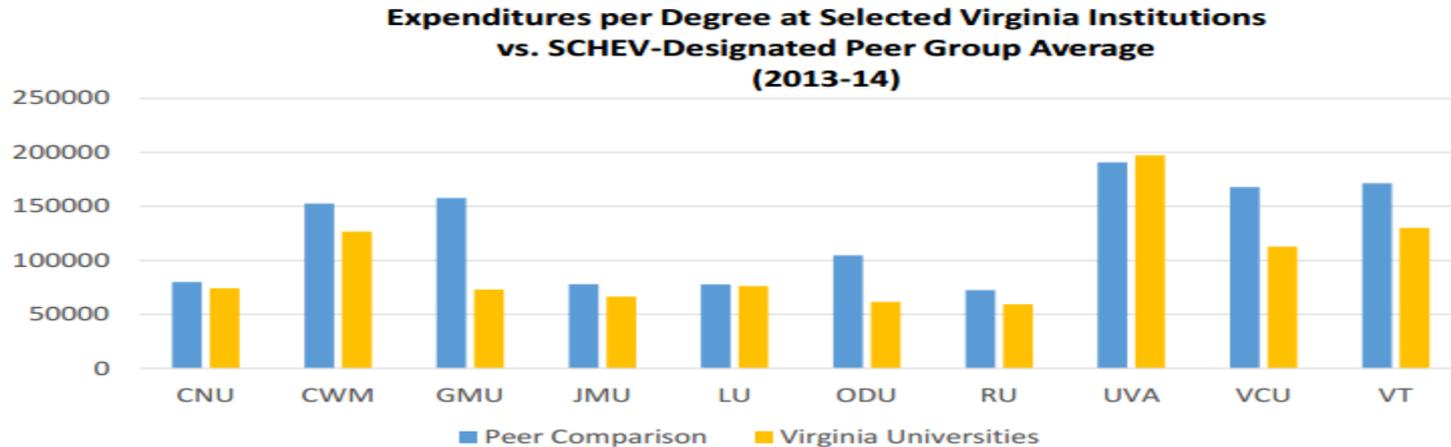
2015 state support per FTE student



Source: National Center for Higher Education Management Systems

Virginia's colleges are efficient compared to peers

One key indicator of efficiency in higher education is the average amount (from all sources) an institution spends to produce an undergraduate degree. As shown below, Virginia's public colleges are efficient, generally spending at or below the average cost per degree of their peer institutions



Source: National Center for Higher Education Management Systems.

Note: Peer groups vary from each institution. Lists of designates peer institutions are available from the State Council of Higher Education for Virginia (SCHEV)

FY 2018 Education & General Costs & Funding Sources

<u>Unavoidable Costs</u>	<u>FY2018</u>
Operational Costs (Contractual Cost Increases, O&M, fringe r \$	5,290,800
Academic Costs (Faculty Promotions & Engineering Startup)	3,034,800
Subtotal Unavoidable Costs	8,325,600

<u>Highest Priority Needs</u>	
Merit Based Financial Aid (VA Merit and Quest)	2,067,000
Need Based Financial Aid	3,000,000
College of Humanities & Science Staffing	1,029,000
3% Salary and Fringe Benefit Change	12,190,218
Deferred Maintenance	1,000,000
Subtotal Highest Priority Needs	19,286,218

FY2018 Unavoidable Costs & Highest Priority Needs	27,611,818
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<u>Current known additional funding sources</u>	
Enrollment/Model Changes	4,225,150
FY 2018 University Central Adjustments	3,045,200
State Planned Increase for Equity & Access	2,004,259
Univeristy and State Funding for 3% Salary Increase	7,301,031
Total FY18 Known Funding Sources	16,575,640

Preliminary Funding Gap- Before Final State Actions*	\$ (11,036,178)
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Initiatives Not Funded in FY 2018

- Advising: **\$1.5M**
 - Advising will continue to remain "reactionary" versus pro-active
- Competitive Adjunct Faculty Pay: **\$1.0M**
 - Inability to recruit and retain qualified adjunct faculty
- Faculty Recruitment & Competitive Pay **\$2.8M**
 - Invest in the Institute for Inclusion, Inquiry and Innovation that focuses on challenges in urban communities, becoming a national model for diversity, inclusion and educational excellence (iCubed)
 - Competitive faculty salary levels which are losing ground to other institutions
- Instructional space/faculty offices: **\$2.2M**
 - Deferred Maintenance backlog will continue to grow
- Financial Aid: **1.3M**
 - Low numbers of graduate assistantships, and low stipends for doctoral students

Total: **\$8.8M**

FY 2018 Overview

Virginia Commonwealth University FY 2018 Budget Development Overview (in thousands)

Tuition & Mandatory Fee % Increase - Per Academic Year (Resident)

2.4% 2.9% 3.3% **3.8%** 4.2% 4.6% 5.3%

Proposed FY 2018 Tuition Increase

3.0% **3.5%** **4.0%** **4.5%** **5.0%** **5.5%** **6.0%**

FY 2018 Proposed Tuition Revenue

\$ 10,670 **\$ 12,182** **\$ 13,694** **\$ 15,207** **\$ 16,719** **\$ 18,231** **\$ 19,744**

Proposed FY 2018 Projected Expenses

Preliminary Funding Gap

11,036 11,036 11,036 11,036 11,036 11,036 11,036

Proposed FY 2018 Budget Reductions

8,019 8,019 8,019 8,019 8,019 8,019 8,019

Total Funding Gap

19,055 **19,055** **19,055** **19,055** **19,055** **19,055** **19,055**

Budget Cuts

\$ (8,385) **\$ (6,873)** **\$ (5,361)** **\$ (3,848)** **\$ (2,336)** **\$ (824)** **\$ 689**

Tuition & Mandatory Fee \$ Increase - Per Academic Year (Resident)

\$ 320 **\$ 378** **\$ 436** **\$ 494** **\$ 552** **\$ 610** **\$ 696**

Summary of Recommended Tuition & Fees – FY 2018

	RESIDENT		NON-RESIDENT	
	2016-17	2017-18	2016-17	2017-18
Tuition- 15 Credit Hours	\$ 10,846	\$ 11,340	\$ 29,378	\$ 30,712
University Fee	1,845	1,845	1,845	1,845
Technology Fee	83	83	83	83
Library Fee	60	60	60	60
Health Service Fee	206	206	206	206
Student Activity Fee	90	90	90	90
Capital Outlay Fee (nonresident)	n/a	n/a	625	660
Total: TUITION & MANDATORY FEES	13,130	13,624	32,287	33,656
Housing	5,999	6,199	5,999	6,199
Board	3,920	3,988	3,920	3,988
TOTAL: TUITION & MANDATORY FEES & ROOM & BOARD	\$23,049	\$23,811	\$42,206	\$43,843

Summary of Mandatory E&G and Auxiliary Fee Recommendations

- No increase is proposed for resident mandatory fees
- Capital Outlay Fee (nonresident) will increase \$35 (5.6%) to meet state transfer requirement.
- The below proposed rates reflect an average campus-wide increase:
 - Housing 1.4%
 - Dining 2.0%
 - Parking 3.0%

Tuition & Fees Recommendations for FY 2018

- Adopt combined **tuition and mandatory fees** increases of:

3.8%	\$ 494	Virginia Undergraduates
4.2%	1,369	Nonresident Undergraduates
3.7%	490	Resident Masters level students
4.1%	1,043	Nonresident Masters level students
3.6%	404	Resident Doctoral students
4.1%	897	Nonresident Doctoral students
2.4%	775	Resident Medicine
4.3%	2,184	Nonresident Medicine
5.7%	2,640	Resident Dentistry
6.2%	4,540	Nonresident Dentistry
2.3%	646	Resident Pharmacy
2.4%	966	Nonresident Pharmacy

Budget Cuts in FY 2018

A 3.8% tuition increase leaves VCU with a \$3.8M budget cut in FY 2018

<u>Calculation of E&G Reduction Targets by Executive Level</u>	<u>FY 2018</u>
Provost & VP Academic Affairs	\$1,836,434
Health Sciences	1,227,781
Administration	492,688
Institutional Support	212,812
Research	78,354
Total University	\$3,848,069

All Funds FY 2017-18 Budget

(See University Budget Plan FY2018 page I-8)

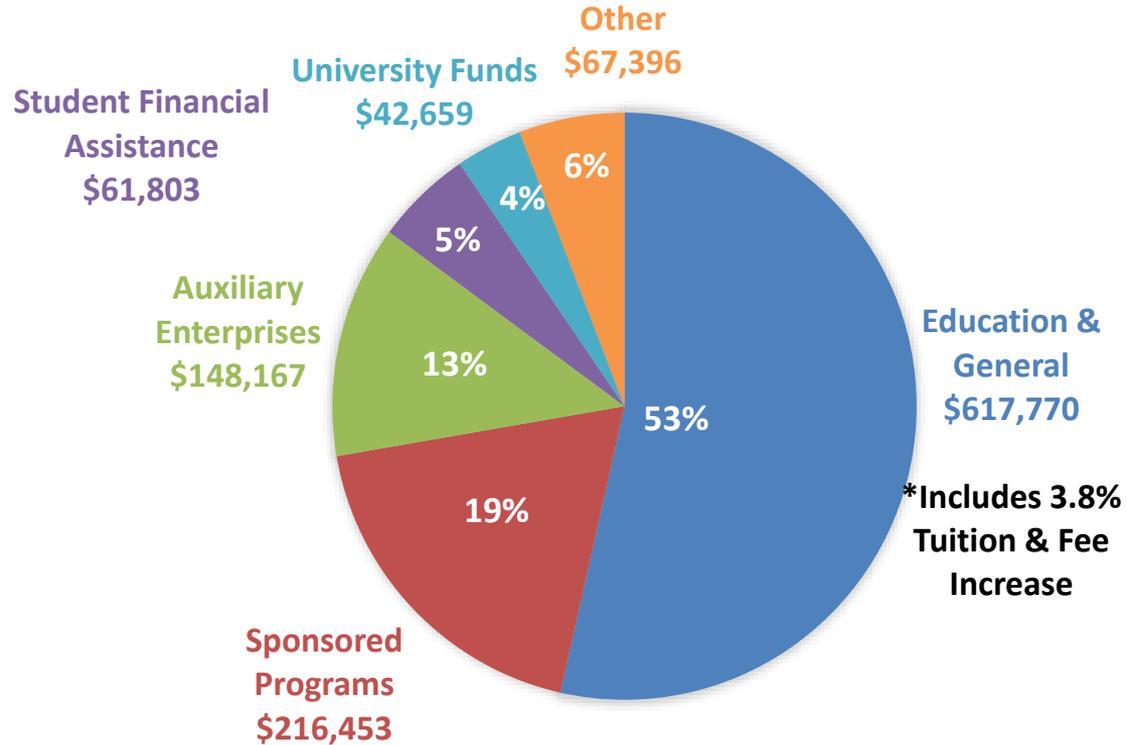
Virginia Commonwealth University
FY 2017-2018 University Budget Plan
Sources and Uses Summary
(in thousands)

FY 2017-2018 Sources	Educational & General Programs	Sponsored Programs	Auxiliary Enterprises	University Funds	Student Financial Assistance	Other	Total University	Change from 2016-17 Budget Plan	
								Amount	Percent
State General Fund									
Direct Appropriations	\$ 170,040	\$ 14,013	\$ -	\$ -	\$ 30,063	\$ -	\$ 214,116	(5,689)	-2.6%
Central Transfers	3,997	-	-	-	-	-	3,997	47	1.2%
State General Fund	\$ 174,037	\$ 14,013	\$ -	\$ -	\$ 30,063	\$ -	\$ 218,113	\$ (5,642)	-2.5%
Nongeneral Funds									
Student Tuition and Fees	424,966	-	51,885	-	-	-	476,851	25,965	5.8%
Grants and Contracts	8,222	202,440	-	-	31,740	-	242,402	10,430	4.5%
Gifts and Investment Earnings	107	-	5,523	38,416	-	-	44,046	1,957	4.6%
Sales and Services	10,133	-	84,724	-	-	67,396	162,253	1,601	1.0%
Other Sources	305	-	6,035	4,243	-	-	10,583	(218)	-2.0%
Total Nongeneral Funds	443,733	202,440	148,167	42,659	31,740	67,396	936,135	39,735	4.4%
Total University Sources	\$ 617,770	\$ 216,453	\$ 148,167	\$ 42,659	\$ 61,803	\$ 67,396	\$ 1,154,248	\$ 34,093	3.0%
FY 2017-2018 Uses									
Instruction	\$ 315,926	\$ 10,560	\$ -	\$ 3,400	\$ -	\$ 40,069	\$ 369,955	\$ 8,637	2.4%
Research	12,836	189,594	-	9,413	-	-	211,843	5,109	2.5%
Public Service	4,820	449	-	1,801	-	-	7,070	(419)	-5.6%
Academic Support	95,384	4,044	-	10,411	-	-	109,839	(2,244)	-2.0%
Student Services	17,768	-	-	497	-	-	18,265	471	2.6%
Institutional Support	85,716	3,370	-	8,372	-	-	97,458	8,352	9.4%
Operation and Maintenance of Plant	56,503	5,617	-	1,042	-	1,000	64,162	2,116	3.4%
Scholarships and Fellowships	10,520	1,716	-	7,723	77,217	-	97,176	8,887	10.1%
Auxiliary Enterprises	-	-	137,543	-	-	-	137,543	2,692	2.0%
Other	-	-	-	-	-	25,927	25,927	1,126	4.5%
Subtotal Uses	599,473	215,350	137,543	42,659	77,217	66,996	1,139,238	34,727	3.1%
Transfers (in) out ⁽¹⁾	14,002	-	1,412	-	(15,414)	-	-	-	n/a
Addition to Reserves	-	-	5,960	-	-	400	6,360	(1,007)	-13.7%
Contingencies	4,295	1,103	3,252	-	-	-	8,650	373	4.5%
Subtotal Contingencies and Transfers	18,297	1,103	10,624	-	(15,414)	400	8,650	373	4.5%
Total University Uses	\$ 617,770	\$ 216,453	\$ 148,167	\$ 42,659	\$ 61,803	\$ 67,396	\$ 1,154,248	\$ 34,093	3.0%

(1) Per the state budget, nongeneral fund appropriation from E&G programs of \$11,002,320 and \$1,412,083 from Auxiliary Services was required to be transferred to Student Financial Assistance to more accurately reflect aid to students. An additional \$3,000,000 in additional need-based aid is added as part of the 2017-18 budget.

All Funds FY 2017-18 Budget (1.2 Billion)

(In Millions)



Educational and General Programs

(See University Budget Plan FY2018 page II-1)

Educational and General (E&G) Programs

- E&G programs include all of the University's instructional programs and related support services. Revenue is derived mainly from student tuition, state general fund appropriations, and instructional fees. The proposed budget generates \$617.8 million of revenue.
- Key initiatives in VCU's Six-Year Plan that are addressed in the proposed budget include:
 - Improved student recruitment, retention, and scholarships
 - Strengthen academic programs
 - Recruit and retain faculty, staff and senior leadership; and salary increases for faculty and staff

Virginia Commonwealth University
FY 2017-2018 University Budget Plan
Educational and General Programs (E&G)
(in thousands)

	2016-17 Budget Plan	2017-18 Budget Plan	Change Over 2016-17
SOURCES			
State General Fund ⁽¹⁾	\$ 179,842	\$ 174,037	-3.2%
Nongeneral Fund			
Student Tuition and Fees	399,230	424,966	6.4%
Grants and Contracts	8,222	8,222	0.0%
Sales and Services	11,250	10,545	-6.3%
Total Nongeneral Fund Sources	<u>418,702</u>	<u>443,733</u>	6.0%
Total Sources	<u>\$ 598,544</u>	<u>\$ 617,770</u>	3.2%
USES			
Instruction	\$ 307,292	\$ 315,926	2.8%
Research	12,344	12,836	4.0%
Public Service	5,662	4,820	-14.9%
Academic Support	96,077	95,384	-0.7%
Student Services	17,219	17,768	3.2%
Institutional Support	81,393	85,716	5.3%
Operation and Maintenance of Plant	54,967	56,503	2.8%
Scholarships and Fellowships	8,270	10,520	27.2%
Contingency	4,318	4,295	-0.5%
Total E&G Uses	<u>\$ 587,542</u>	<u>\$ 603,768</u>	2.8%
Student Financial Assistance ⁽²⁾	<u>11,002</u>	<u>14,002</u>	27.3%
Total Uses	<u>\$ 598,544</u>	<u>\$ 617,770</u>	3.2%

(1) This includes the amount specified in the General Fund part of the State Appropriation Act as well as the state's estimated share of salary and fringe adjustments.

(2) Per the state budget, nongeneral fund appropriation from E&G programs of \$11,002,320 and \$1,412,083 from Auxiliary Services was required to be transferred to Student Financial Assistance to more accurately reflect aid to students. In FY 2018, an additional \$3,000,000 will be transferred from E&G programs to Student Financial Assistance to support need based financial aid bringing the total to \$14,002,320 from E&G programs.

Sponsored Programs

(See University Budget Plan FY2018 page II-7)

Sponsored Programs

- Sponsored Programs revenue is projected to be \$224.7M in FY 2018, which is a modest increase of \$249,000 over projections for the current fiscal year. This includes the revenue for direct and indirect costs on federal, state, and private grants and contracts, as well as state general fund appropriations.
- State General Funds are earmarked for the following initiatives:
 - Cancer Research: \$12.5M
 - Bioengineering and Regenerative Medicine Research: \$1.2M
 - Parkinson's and Movement Disorders Center: \$.3M

Virginia Commonwealth University
FY 2017-2018 University Budget Plan
Sponsored Programs
(in thousands)

	2016-17 Projected	2017-18 Budget Plan	Change Over 2016-17
SOURCES			
Direct Costs			
Department of Health and Human Services	\$ 65,743	\$ 66,072	0.5%
Department of Education	10,092	10,142	0.5%
Other Federal Agencies	34,975	35,150	0.5%
Total Federal Grants and Contracts	<u>110,810</u>	<u>111,364</u>	0.5%
State Agency Grants and Contracts	18,306	18,397	0.5%
State Higher Education Research Initiative	13,663	13,663	0.0%
State General Fund Support for the Parkinson's and Movement Disorders	350	350	0.0%
Private and Local Agency Grants and Contracts	40,697	40,901	0.5%
Total Other Grants and Contracts	<u>73,016</u>	<u>73,311</u>	0.4%
Total Sources Associated with Direct Costs	183,826	184,675	0.5%
Facilities and Administrative Cost Recoveries	39,100	40,000	2.3%
Total Sources	<u>\$ 222,926</u>	<u>\$ 224,675</u>	0.8%
USES			
Instruction	\$ 10,478	\$ 10,560	0.8%
Research	188,294	189,594	0.7%
Public Service	446	449	0.8%
Academic Support	4,013	4,044	0.8%
Institutional Support	3,344	3,370	0.8%
Operation and Maintenance of Plant	5,573	5,617	0.8%
Scholarships and Fellowships	1,716	1,716	0.0%
Transfer Facilities and Administrative Cost Recoveries to E&G	7,758	8,221	6.0%
Contingencies	1,304	1,103	-15.4%
Total Uses	<u>\$ 222,926</u>	<u>\$ 224,675</u>	0.8%

Facilities and Administrative Cost Recoveries

(See University Budget Plan FY2018 page II-8)

Facilities and Administrative Cost Recoveries

- The Sponsored Programs revenue includes recovery of the facilities and administrative (indirect) costs associated with operating those programs. This funding is projected to be \$40.0M in FY 2018, a 2.3% increase over FY 2017.
- The state requires a portion of the indirect cost reimbursement to be allocated to E&G operations. This is budgeted at \$8.2M in FY 2018, which is a 6% increase over the current fiscal year.
- The remaining revenues are used to support research and research-related activities and to fund principal and interest payments on bonds issued by or for the university.

Virginia Commonwealth University
FY 2017-2018 University Budget Plan
Facilities and Administrative Cost Recoveries
(in thousands)

	2016-17 Budget Plan	2017-18 Budget Plan	Change Over 2016-17
SOURCES			
Total Estimated Revenue	\$ 39,100	\$ 40,000	2.3%
Allocation to E&G	(7,758)	(8,222)	6.0%
Total Sources	<u>\$ 31,342</u>	<u>\$ 31,778</u>	1.4%
USES			
Academic VPs and Schools	\$ 7,833	\$ 7,903	0.9%
Support for Research Operations	7,817	8,111	3.8%
University Institutes and Centers	2,888	2,806	-2.8%
Biotechnology Research Partnership Support	218	218	0.0%
Capital Related Activities	3,694	3,694	0.0%
Graduate Scholarships & Fellowships	1,716	1,716	0.0%
Special Allocations	3,272	3,527	7.8%
University Research Incentive Plan	2,600	2,700	3.8%
Contingencies	1,304	1,103	-15.4%
Total Uses	<u>\$ 31,342</u>	<u>\$ 31,778</u>	1.4%

Auxiliary Enterprises

(See University Budget Plan FY2018 page II-13)

Auxiliary Enterprises

- Auxiliary Enterprise revenues are budgeted to be \$148.2 million in FY 2018, an overall increase of \$2.3 million or 1.6% due mainly to increased donor gifts to Intercollegiate Athletics. Below are the proposed rate increases:
 - Dining: 2% average increase to cover higher contractual costs
 - Housing: 1.4% average campus-wide increase
 - Parking: 3% average increase which is aligned with the Parking and Transportation 5-year Financial Plan

**Virginia Commonwealth University
FY 2017-2018 University Budget Plan
Auxiliary Enterprise Programs
(in thousands)**

	2016-2017 Budget Plan	2017-2018 Budget Plan	Change Over 2016-2017
SOURCES			
Sales and Services	\$ 32,517	\$ 34,206	5.2%
University Fee	46,869	47,098	0.5%
Room Plan	30,822	31,187	1.2%
Board Plan	20,216	19,331	-4.4%
Health Fee	4,787	4,787	0.0%
Gifts and Interest Earnings	4,209	5,523	31.2%
Other - Use of Balances	6,465	6,035	-6.7%
Total Sources	<u>\$ 145,885</u>	<u>\$ 148,167</u>	1.6%
USES			
Intercollegiate Athletics	\$ 29,816	\$ 33,465	12.2%
Residential Services	34,129	34,450	0.9%
Student Development Programs	26,333	26,957	2.4%
Financial Aid Transfer	1,412	1,412	0.0%
Parking & Transportation	13,903	13,700	-1.5%
Dining & Retail Operations	30,879	26,275	-14.9%
University Services	2,446	5,948	143.2%
Addition to Reserves	6,967	5,960	-14.5%
Total Uses	<u>\$ 145,885</u>	<u>\$ 148,167</u>	1.6%

University Funds

(See University Budget Plan FY2018 page II-17)

University Funds

- University Funds revenues are budgeted at \$42.7 million in FY 2018, an increase of \$869,000 or 2.1% due to anticipated increases in gifts, endowment income, and foundation support.
- Expenditures of these funds are managed by deans, directors, and department heads. Gifts often have restrictions on how the funds can be spent.

Virginia Commonwealth University
FY 2017-2018 University Budget Plan
University Funds
(in thousands)

	2016-17 Budget Plan	2017-18 Budget Plan	Change Over 2016-17
SOURCES			
Gifts, Endowment Income, and Foundation Support	\$ 33,431	\$ 34,100	2.0%
Investment Income	4,342	4,316	-0.6%
Other Transfers	4,017	4,243	5.6%
Total Sources	<u>\$ 41,790</u>	<u>\$ 42,659</u>	2.1%
USES ⁽¹⁾			
Instruction	\$ 3,839	\$ 3,400	-11.4%
Research	9,966	9,413	-5.5%
Public Service	1,397	1,801	28.9%
Academic Support	13,326	10,411	-21.9%
Student Services	575	497	-13.5%
Institutional Support	6,619	8,372	26.5%
Operation and Maintenance of Plant	848	1,042	22.9%
Scholarships and Fellowships	5,220	7,723	48.0%
Total Uses	<u>\$ 41,790</u>	<u>\$ 42,659</u>	2.1%

(1) University Funds sources and uses reflect an overall estimate of revenues and expenditures based on trend analysis, therefore has potential for tremendous variability.

Student Financial Assistance

(See University Budget Plan FY2018 page II-21)

Student Financial Assistance

- For FY 2018, student financial assistance includes:
 - \$31.7 million from federal sources, an increase of \$971,000 or 3.2%
 - \$30.1 million from state sources, an increase of \$163,000 or .5%
- In addition to the state and federally funded amounts, in FY 2018 VCU will provide \$69.3 million in institutional aid, an increase of \$8.7 million or 14%.

**Virginia Commonwealth University
2017-18 University Budget Plan
Student Financial Assistance
(in thousands)**

	2016-17 Budget Plan	2017-18 Budget Plan	Change Over 2016-17
Federal			
Grants and Scholarships	\$ 29,317	\$30,288	3.3%
Federal Work Study	1,452	1,452	0.0%
Total Federal	<u>30,769</u>	<u>31,740</u>	3.2%
State: Virginia Student Financial Assistance Program			
Scholarships	26,638	26,638	0.0%
Fellowships	3,262	3,425	5.0%
Total State	<u>29,900</u>	<u>30,063</u>	0.5%
Total Federal and State	<u>60,669</u>	<u>61,803</u>	1.9%
University			
E&G Programs	34,853	37,932	8.8%
Facilities and Administrative Cost Rec	1,716	1,716	0.0%
Auxiliary Enterprise Programs <input type="checkbox"/>			
Athletic Scholarships	5,547	6,076	9.5%
Student Financial Assistance	1,412	1,412	0.0%
University Funds	6,075	8,180	34.7%
Student Financial Assistance	11,002	14,002	27.3%
Total University Sources	<u>60,605</u>	<u>69,318</u>	14.4%
Total Sources	<u>\$ 121,274</u>	<u>\$131,121</u>	8.1%

Hospital Services

(See University Budget Plan FY2018 page II-25)

Hospital Services

- Hospital Services represents revenue for services provided by the University to the VCU Health System and related activities.
- Revenues for FY 2018 are budgeted at \$27.3 million, an increase of \$1.1 million or 4.3% increase over FY 2017 primarily related to the increase in personnel cost due to four new positions being added by the University and a three percent salary increase, authorized by the General Assembly.
- Includes payment for clinical, educational, and research services as well as administrative services such as police, security, telecommunications, steam plant, and capital planning and facilities

Virginia Commonwealth University
FY 2017-2018 University Budget Plan
Hospital Services
(in thousands)

	2016-17 Budget Plan	2017-18 Budget Plan	Change Over 2016-17
SOURCES			
Nongeneral Funds			
Sales and Services	\$ 24,801	\$ 25,927	4.5%
Other Sales and Services - Rental Income	<u>1,400</u>	<u>1,400</u>	0.0%
Total Sources	<u><u>\$ 26,201</u></u>	<u><u>\$ 27,327</u></u>	4.3%
USES			
Operation and Maintenance of Plant	\$ 1,000	\$ 1,000	0.0%
Hospital Services	24,801	25,927	4.5%
Transfer to Plant Funds	<u>400</u>	<u>400</u>	0.0%
Total Uses	<u><u>\$ 26,201</u></u>	<u><u>\$ 27,327</u></u>	4.3%

Questions



**BOARD OF VISITORS
ORIENTATION AND RETREAT
9:00 P.M.
AUGUST 17, 2017
LARRICK STUDENT CENTER
COURT END BALLROOM
900 TURPIN STREET
RICHMOND, VIRGINIA**

MINUTES

DRAFT

BOARD MEMBERS PRESENT

Ms. Phoebe P. Hall, Rector
Mr. John A. Luke Jr., Rector,
Dr. Carol Shapiro, Secretary
Mr. H. Benson Dendy III
Mr. William M. Ginther
Dr. Robert Holsworth
Mr. Edward L. McCoy
Ms. Colette W. McEachin
Mr. Ronald McFarlane
Reverend Tyrone E. Nelson (*left meeting at 1:32 p.m.*)
Mr. Keith Parker
Ms. Jacquelyn Stone
Dr. Shantaram Talegaonkar
Mr. G. Richard Wagoner, Jr.
Mr. Steve L. Worley

BOARD MEMBERS ABSENT

Mr. Alexander B. McMurtrie, Jr.

OTHERS PRESENT

President Michael Rao
Mr. Jacob Belue, Esq., *Interim University Counsel*
Mr. William Cole, *Executive Director of Audit and Compliance Services*
Ms. Stephanie Hamlett, Esq., *effective 9/5/2017 University Counsel*
Ms. Michele N. Schumacher, J.D., *Board Liaison*
VCU Staff

CALL TO ORDER AND WELCOME

Ms. Phoebe P. Hall, Rector called the meeting to order at 9:00 a.m. in the Larrick Student Center,

Court End Ballroom, 900 Turpin Street, Richmond, Virginia. Ms. Hall and Dr. Michael Rao provided brief welcome comments.

WHAT IT MEANS TO BE A MEMBER OF THE VIRGINIA COMMONWEALTH UNIVERSITY'S (VCU) BOARD OF VISITORS

Ms. Hall provided an overview of what it means to be a member of the Board of Visitors of Virginia Commonwealth University (VCU), a leading, urban, public research university. She noted that VCU educates more undergraduate Virginia students than Virginia Tech, University of Virginia, or the College of William and Mary. She then highlighted some of the accomplishments of VCU over the last several years that affected not only students, but also the community at large.

HELPFUL TOOLS AND TIPS FOR EFFECTIVE BOARD MEMBERSHIP

Ms. Michele N. Schumacher, Board Liaison stated that after researching various board portal providers the university has decided to switch from using Boardvantage to BoardEffect. She noted that BoardEffect is the same system currently in use by the Virginia Commonwealth Health Systems Authority Board of Directors and the MCV Foundation, as well as, the VCU Alumni Association. Mr. Christopher Pender, Client Care Advocate with BoardEffect, then provided training on the use of BoardEffect via a webinar.

Ms. Schumacher then reviewed a new Board Manual with the Board noting that all the information contained within the manual is public information, but that the manual simply places it all in one place for Board members.

Mr. Jacob Belue, Interim University Counsel, and Ms. Stephanie Hamlett, University Counsel effective September 5, 2017, gave a presentation on duties of members of the Board of Visitors; legal issues and responsibilities of Board members; and the role of University Counsel at VCU. The presentation also included a section on the Virginia Freedom of Information Act (FOIA) that reviewed what every Board member must know about FOIA, as well as, the importance of compliance with FOIA.

Mr. William Cole, Executive Director of Audit and Compliance Services, provided an overview on the division of Audit and Compliance Services, specifically noting that as the Executive Director he reports directly to the VCU Board of Visitors. His presentation also included information regarding the compliance and ethics program at VCU.

Ms. Hall thanked Ms. Schumacher, Ms. Hamlett, Mr. Belue and Mr. Cole for their presentations.

CLOSED SESSION

Ms. Hall indicated that the Board would now go into closed session. Mr. Stephen Worley moved that the Virginia Commonwealth University Board of Visitors convene into closed session pursuant to Sections 2.2-3711 (A) (1), of the Virginia Freedom of Information Act for the for the discussion of personnel matters, more specifically relating to the performance evaluation of the President of Virginia Commonwealth University. After second being duly made, the motion was unanimously

adopted. The Rector then asked that Ms. Hamlett, Mr. Belue, Ms. Schumacher, Ms. Sarah E. Whitley (consultant) and Dr. John Casteen (consultant) stay for the closed session. All other VCU staff left the room at this time.

RECONVENED SESSION

Following the closed session, the public was invited to return to the meeting. Ms. Hall called the meeting to order. On motion duly made and seconded, the following resolution of certification was approved by a roll call vote:

Resolution of Certification

BE IT RESOLVED, that the Board of Visitors of Virginia Commonwealth University certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements under this chapter were discussed in the closed meeting to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion by which the closed session was convened were heard, discussed or considered by the Board.

<u>Vote</u>	<u>Ayes</u>	<u>Nays</u>
Ms. Phoebe B. Hall, Rector	X	
Mr. John A. Luke, Jr., Vice-Rector	X	
Dr. Carol S. Shapiro, Secretary	X	
Mr. H. Benson Dendy III	X	
Ms. William M. Ginther	X	
Dr. Robert D. Holsworth	X	
Mr. Edward L. McCoy	X	
Ms. Colette McEachin	X	
Mr. Ron McFarlane	X	
Rev. Tyrone Nelson	X	
Mr. Keith Parker	X	
Ms. Jacquelyn E. Stone	X	
Dr. Shantaram Talegaonkar	X	
Mr. G. Richard Wagoner, Jr.	X	
Mr. Steve L. Worley	X	

All members present responding affirmatively, the resolution of certification was unanimously adopted.

After the closed session Ms. Hall asked for a motion to approve the following resolution:

BE IT RESOLVED, that the Board of Visitors hereby commends Dr. Michael Rao, President, on his leadership and accomplishments over the last several years and looks forward to his leadership going forward.

After motion duly made and seconded, the resolution was unanimously adopted.

BOARD STRATEGIC THINKING

Dr. Alexander Schexnider, Association of Governing Boards for Universities and Colleges Consultant, then facilitated a discussion among board members on board strategic thinking and planning at VCU.

OTHER BUSINESS

Ms. Hall then explained that were a number of items that needed to be addressed including, the election of Vice Rector, the election of a Secretary, approval of the Executive Committee members, and board of visitors appointments to the various VCU affiliated foundation boards.

Ms. Hall stated that based on her discussions with various Board Members, it has been recommended that the Board approve John A. Luke, Jr. as Vice Rector and Carol A. Shapiro as Secretary for the 2017-2018 fiscal year. After motion duly made and seconded John A. Luke, Jr. was elected Vice Rector and Carol A. Shapiro was elected Secretary.

Ms. Hall then asked for a motion to approve the following resolutions:

RESOLUTIONS REGARDING BOARD APPOINTMENTS TO VCUHS AUTHORITY BOARD, VCU BOARD OF VISITORS EXECUTIVE COMMITTEE, AND VCU AFFILIATED FOUNDATIONS

BE IT RESOLVED by the Board of Visitors of Virginia Commonwealth University, upon recommendation of the Rector, that the following members of the aforesaid Board of Visitors will constitute the Board of Visitors' appointed members of the Virginia Commonwealth University Health System Authority (VCUHS) Board of Directors for the terms listed below:

Name	Term Ending
Phoebe Hall	6/30/18
John A. Luke, Jr.	6/30/19
Steve Worley	1/13/18
Alexander B. McMurtrie	6/30/18
Shantaram Talegaonkar	6/30/19

and **BE IT FURTHER RESOLVED** by the Board of Visitors of Virginia Commonwealth University that the following members of the aforesaid Board of Visitors will constitute the membership of the Board of Visitors' Executive Committee for the 2017 – 2018 fiscal year:

Phoebe P. Hall.	Rector
John A. Luke, Jr	Vice Rector
Carol S. Shapiro	Secretary and Chair, Academic and Health Affairs Committee

Keith Parker	Chair, Audit, Integrity and Compliance Committee
G. Richard Wagoner, Jr.	Chair, University Resources Committee
William M. Ginther	Chair, Finance, Budget and Investment Committee and Chair, Investment Advisory Subcommittee
John A. Luke, Jr.	Chair, Governance and Compensation Committee
Jacquelyn E. Stone	Member-at-Large
Shantaram Talegaonkar	Member-at-Large

and, **BE IT FURTHER RESOLVED** that should any member of the Executive Committee who holds his/her position by virtue of serving as Chair of any of the Board of Visitors' Standing Committees be unable, for any reason, to continue to serve in that capacity, the appointed Vice Chair of such committee automatically and simultaneously will assume responsibility of the Chairmanship of that Committee and, also, the responsibility for serving as a substitute member of the Board of Visitors' Executive Committee.

and **BE IT FURTHER RESOLVED** that the following members of the Board are hereby appointed to the following VCU Foundations for 2017-2018 fiscal year:

Foundation:

VCU Foundation

MCV Foundation

VCU School of Engineering Foundation

VCU School of Business Foundation

VCU Intellectual Property Foundation

VCU Real Estate Foundation

Member:

Colette McEachin
William Ginther

Steve Worley
(through 1/13/2018)

John A. Luke, Jr.

Ronald McFarlane

Shantaram Talegaonkar

Phoebe P. Hall

After motion duly made and seconded the above resolutions were unanimously adopted.

Ms. Hall then explained that there was one item that carried over from the May meeting in connection with the HR Redesign, and it was appropriate at this time to approve the following resolution:

Resolution Endorsing the University's redesigned Human Resource Policy under the University's Management Agreement

WHEREAS, the Management Agreement entered into by the Virginia Commonwealth University (VCU) and the Commonwealth pursuant to the Restructured Higher Education Financial and Administrative Operations Act, authorizes the President to adopt and implement new human resources plan for VCU employees; and

WHEREAS, the Restructured Higher Education Financial and Administrative Operations Act and its subsequent Management Agreement provided VCU an opportunity to develop a new human resources plan for non-faculty employees hired on or after July 1, 2016; and

WHEREAS, with the approval of this policy effective January 1, 2018, VCU will commence a 90-day enrollment period during which classified staff may elect to participate in and be governed by the new human resource policy; and

WHEREAS, Administrative and Professional faculty will be converted to the appropriate employee group effective July 1, 2018 after receiving proper notice and undergoing a position review and reconsideration process;

NOW, THEREFORE, BE IT RESOLVED by the Board of Visitors of Virginia Commonwealth University (BOV) as follows:

The BOV hereby endorses the President's approval of the proposed human resource policy, which includes changes to employment categories, compensation structure, performance management, career and leadership development, employee relations, alternative work arrangements, layoff, and leave benefits, as described in the draft policy that recently underwent an extensive public comment period.

After motion duly made and seconded the aforesaid resolution was unanimously adopted.

ADJOURNMENT

With no further business to come before the Board, Mr. John A. Luke, Jr., Rector adjourned the meeting at 3:45 p.m.

Approval of 9(d) Virginia College Building Authority Debt Financing Resolution

FINANCE, BUDGET AND INVESTMENT COMMITTEE

The following project has been authorized to be financed pursuant to Section 9(d) of Article X of the Constitution of Virginia and will seek financing for up to \$10.8 million plus amounts needed to fund issuance costs, reserve funds and other financing expenses:

Construct New Allied Health Professions Building (Project #18206): \$10,800,000

The Construct New Allied Health Professions Building project will construct a 154,100 gross square foot building with additional classroom, teaching laboratory, and faculty office space for the School of Allied Health Professions. The new building will allow the School to consolidate its operations into a single building and to increase enrollment in some of the University's most in-demand programs. The project is located at the corner of 10th Street and Leigh Street on the MCV Campus. The total project cost is approximately \$87.3 million, which will be funded with \$10.8 million of debt and \$76.5 million of state appropriations. Debt service payments will be paid by the School of Allied Health Professions from tuition and fee revenues.

The bonds for the project will be issued through the Virginia College Building Authority (VCBA), and the university will enter into a loan agreement and promissory note subject to the following parameters: (a) the principal amount to be paid under the Note allocable to any component of the Project, together with the principal amount of any other indebtedness with respect to such component, shall not be greater than the amount authorized for such component by the General Assembly plus amounts needed to fund issuance costs, original issue discount, other financing (including without limitation refunding) expenses and any other increase permitted by law; (b) the aggregate principal amount of the Note shall in no event exceed \$10,800,000 as the same may be so increased; (c) the aggregate interest rate payable under the Note shall not exceed a "true" or "Canadian" interest cost more than 50 basis points higher than the interest rate for "AA" rated securities with comparable maturities, as reported by Thomson Municipal Market Data (MMD) or another comparable service or index, as of the date that the interest rates are determined, taking into account any original issue discount or premium; (d) the weighted average maturity of the principal payments due under the Note shall not exceed 20 years after the original issue date of the Note; (e) the last principal payment date under the Note shall not extend beyond the reasonably expected weighted economic life of the Project; and (f) subject to the foregoing, the actual amount, interest rates, principal maturities, and date of the Note shall be approved by an Authorized Officer, as evidenced by the execution thereof.

The resolution identifies (1) the Vice President for Finance and Budget, and (2) the University Treasurer as each being authorized to execute and deliver all certificates and instruments and to take all such further action as may be considered necessary or desirable in connection with the sale and issuance of the bonds.

**RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY
VIRGINIA COLLEGE BUILDING AUTHORITY FINANCING AUTHORIZATION**

WHEREAS, pursuant to and in furtherance of Chapter 3.2, Title 23 of the Code of Virginia of 1950, as amended (the “Act”), the Virginia College Building Authority (the “Authority”) developed a program (the “Program”) to purchase debt instruments issued by public institutions of higher education in the Commonwealth of Virginia (“Participating Institutions” and each a “Participating Institution”) to finance or refinance projects of capital improvement (“Capital Projects” and each a “Capital Project”) included in a bill passed by a majority of each house of the General Assembly of Virginia (the “General Assembly”);

WHEREAS, under the Program the Authority from time to time issues its Educational Facilities Revenue Bonds (Public Higher Education Financing Program) (“Pooled Bonds”) to finance the purchase or refunding of debt instruments issued by Participating Institutions to finance or refinance Capital Projects;

WHEREAS, if a Participating Institution desires to finance or refinance a Capital Project through the Program it must enter into a loan agreement with the Authority, under which: (i) the Participating Institution will issue its promissory note pursuant to Chapter 3, Title 23 of the Code of Virginia of 1950, as amended, to evidence a loan to it by the Authority; (ii) the Authority will agree to issue Pooled Bonds and use proceeds thereof to purchase the promissory note; (iii) the Participating Institution will agree to use proceeds of Pooled Bonds, loaned to it and received in exchange for its promissory note, to finance or refinance the Capital Project and to not take actions that may jeopardize any federal tax-exempt status of interest on Pooled Bonds allocable to financing or refinancing the Capital Project; and (iv) the Participating Institution will agree to make payments under the promissory note in sums sufficient to pay, together with certain administrative and arbitrage rebate payments, the principal of, premium, if any, and interest due on such Pooled Bonds;

WHEREAS, the Board of Visitors (the “Board”) of Virginia Commonwealth University (the “Institution”) from time to time desires to finance or refinance Capital Projects for the Institution as a Participating Institution under the Program, and now proposes that the Institution issue its promissory note or notes (collectively, the “Note”) to be sold to the Authority in accordance with a loan agreement or loan agreements between the Institution and the Authority (collectively, the “Loan Agreement”), under which proceeds of Pooled Bonds will be loaned to and received by the Institution in exchange for the Note, to finance or refinance costs of the following Capital Projects authorized for bond financing by the General Assembly: the Construct New Allied Health Professions Building (Project Code 18206) (collectively, the “Project”); and

WHEREAS the Board desires to designate certain Institution officers (i) delegated the authority to approve the forms of and to execute and deliver the Loan Agreement, the Note and any amendments thereto, and any other documents necessary or desirable in connection with financing or refinancing costs of the Project through and participation in the

Program; and (ii) responsible for monitoring post-issuance compliance with covenants of the Institution related to maintaining any federal tax-exempt status of interest on Pooled Bonds.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD:

Section 1. The Project is hereby designated to be undertaken and financed or refinanced by the Authority and, accordingly, the Vice President for Finance and Budget and the University Treasurer (collectively, the “Authorized Officers”) are each hereby delegated and invested with full power and authority to approve the forms of the Loan Agreement, the Note and any amendments thereto (in connection with any refunding of Pooled Bonds financing or refinancing the Project or otherwise), and any pledge to the payment of the Note and any amendment thereto of total gross university sponsored overhead, unrestricted endowment income, tuition and fees, indirect cost recoveries, auxiliary enterprise revenues, general and nongeneral fund appropriations and other revenues not required by law or previous binding contract to be devoted to some other purpose, restricted by a gift instrument for another purpose or excluded from such pledge as provided in the Loan Agreement, subject to the provisions of Section 3 hereof.

Section 2. Subject to the provisions of Section 3 hereof, the Authorized Officers are each hereby delegated and invested with full power and authority to execute, deliver and issue, on behalf of the Institution, (a) the Loan Agreement, the Note and any amendments thereto (in connection with any refunding of Pooled Bonds financing or refinancing the Project or otherwise), with approval of such documents in accordance with Section 1 hereof evidenced conclusively by the execution and delivery of the respective document, and (b) any other documents, instruments or certificates as may be deemed necessary or desirable to finance or refinance costs of the Project through and participate in the Program, and to further carry out the purposes and intent of this resolution. The Authorized Officers are authorized and directed to take such steps and deliver such certificates in connection with delivery of the Note, and any amendment thereto, as may be required under any existing obligations, including bond resolutions relating to any outstanding general revenue pledge bonds, and to notify Virginia Department of Treasury representatives serving as Authority staff at least 60 days in advance of a pledge of any amounts pledged to the payment of the Note in accordance with Section 1 hereof to, or as security for, the payment of any other Institution obligations issued or entered into after the date hereof for so long as the Note and any amendments thereto remain outstanding.

Section 3. The authorizations given above as to the approval, execution, delivery and issuance of the Loan Agreement, the Note and any amendments thereto (in connection with any refunding of Pooled Bonds financing or refinancing the Project or otherwise) are subject to the following parameters: (a) the principal amount to be paid under the Note allocable to any component of the Project, together with the principal amount of any other indebtedness with respect to such component, shall not be greater than the amount authorized for such component by the General Assembly plus amounts needed to fund issuance costs, original issue discount, other financing (including without limitation refunding) expenses and any other increase permitted by law; (b) the aggregate principal amount of the Note shall in no event exceed \$10,800,000 as the same may be so increased; (c) the aggregate interest rate payable under the Note shall not exceed a “true” or “Canadian” interest cost more than 50 basis points higher than the interest rate for “AA” rated securities with comparable maturities, as reported by

Thomson Municipal Market Data (MMD) or another comparable service or index, as of the date that the interest rates are determined, taking into account any original issue discount or premium; (d) the weighted average maturity of the principal payments due under the Note shall not exceed 20 years after the original issue date of the Note; (e) the last principal payment date under the Note shall not extend beyond the reasonably expected weighted economic life of the Project; and (f) subject to the foregoing, the actual amount, interest rates, principal maturities, and date of the Note shall be approved by an Authorized Officer, as evidenced by the execution thereof.

Section 4. The Board acknowledges that if there is a failure to make, as and when due, any payment of the principal of, premium, if any, and interest on any promissory note issued by the Institution as a Participating Institution to the Authority under the Program, including without limitation the Note and any amendments thereto, the State Comptroller is authorized under the Program and Section 23-30.29:3 of the Code of Virginia of 1950, as amended, to charge against appropriations available to the Institution all future payments of principal of, premium, if any, and interest on such promissory note when due and payable and to make such payments to the Authority or its designee, so as to ensure that no future default will occur on such promissory note.

Section 5. The Board agrees that if the Authority determines the Institution as a Participating Institution shall be subject to continuing disclosure obligations under Rule 15c2-12 of the federal Securities and Exchange Commission with respect to any Pooled Bonds, (a) an Authorized Officer shall, and is hereby authorized and directed to, enter into a continuing disclosure undertaking in form and substance reasonably satisfactory to the Authority, and (b) the Institution will comply with the provisions and disclosure obligations contained therein.

Section 6. The Board designates the University Treasurer to be responsible for implementing procedures to monitor post-issuance compliance with covenants in any loan agreement between the Institution as a Participating Institution and the Authority, including the Loan Agreement and any amendments thereto, related to maintaining tax-exempt status for federal income tax purposes of interest on any Pooled Bonds, including without limitation monitoring the use of any portion of all Capital Projects for the Institution financed or refinanced with such Pooled Bonds and compliance with any applicable federal income tax remedial action requirements in connection with certain changes in such use. Such officer shall review such post-issuance compliance at least annually for so long as such Pooled Bonds remain outstanding.

Section 7. This resolution shall take effect immediately upon its adoption.

Adopted: September 14, 2017

_____, Secretary
**BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY**

**RESOLUTION OF THE BOARD OF VISITORS
OF
VIRGINIA COMMONWEALTH UNIVERSITY**

**AMENDING PRIOR RESOLUTIONS OF THE BOARD RELATING TO
THE UNIVERSITY'S \$27,000,000 SERIES 2015A GENERAL REVENUE PLEDGE
BOND**

WHEREAS, on June 11, 2015 the University issued its \$27,000,000 General Revenue Pledge Bond, Series 2015A (the "Bond") for the purpose of financing various projects at the University;

WHEREAS, the Bond was issued pursuant to a bond resolution dated June 11, 2015 approved by the University's Associate Vice President for Finance and Administration, as authorized by a resolution adopted by the Board on May 8, 2015 (collectively, the "Resolutions"); and

WHEREAS, the University desires to amend the Resolutions to expand the projects eligible to be financed with the proceeds of the Bond to include University-owned parking facilities located in or around the University's campus.

**NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY:**

1. The Resolutions are hereby amended to include within the definition of "Project" therein any University-owned parking facilities located in or around the University's campus.
2. Except as modified hereby, the Resolutions are hereby reaffirmed and ratified in all respects.
3. This resolution shall take effect immediately upon its adoption.

Adopted this 14th day of September, 2017

Secretary of the Board of Visitors of
Virginia Commonwealth University

Consented to by:

TD Bank, N.A., sole Bondholder

By: _____
Its: _____

RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY

APPROVAL OF ENDOWMENT ADMINISTRATIVE FEE

WHEREAS, the Board of Visitors wishes to fund institutional priorities by instituting an administrative fee on the University-held endowments and the quasi endowment;

WHEREAS, each of the University's affiliated foundations charge a similar administrative fee;

WHEREAS, investment returns and a prudent spending policy have resulted in an accumulation of excess appreciation on the University-held endowments and the quasi endowment; and

WHEREAS, an increase in endowment distributions through the addition of an administrative fee can be implemented without affecting the sustainability of future payouts on the University-held endowments and the quasi endowment.

NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY:

1. That the University shall implement an administrative fee on the University-held endowments and the quasi-endowment of 1.00 percent of each endowment's market value, or 100 basis points (bps).
2. This Resolution shall take effect immediately upon its adoption.

VIRGINIA COMMONWEALTH UNIVERSITY
Architect/Engineer Selection
Scott House Renovation

DESCRIPTION: This project will consist of renovations to the Scott House on the Monroe Park Campus. The work will consist of major repairs to the building exterior including masonry, windows and doors. Interior work will include new restrooms, new HVAC system, electrical upgrades and an elevator.

Construction Budget \$5,000,000
Total Budget \$7,000,000

SOURCE OF FUNDS:

University Funds\$3,500,000
General Fund \$3,500,000

ANNOUNCEMENTS: A request for proposals was announced in the following publications on the following dates:

eVA April 24, 2017
Richmond Times Dispatch April 28, 2017

LETTERS OF INTENT:

Proposals were received from 8 firms that qualified under the selection process.

SELECTION COMMITTEE:

Mary Cox, FAIA	University Architect, Facilities Management
Donald Cosgrove	Director, Facilities Construction Management
Heidi Jack	Director of Academic Finance and Administration, Office of the Provost
Mike Trzesniowski	Director of Engineering and Utilities, Facilities Management
Caren Girard	Interior Design Manager, Facilities Management
Keith Van Inwegen	Project Manager, Facilities Management
Margaret Kelland	Campus Coordinator, Facilities Management

FIRMS INTERVIEWED:

Glave & Holmes Architecture, P.C.
Preservation Design Partnership, LLC
Quinn Evans Architects
RRMM Architects, P.C.

FIRM RECOMMENDED:

Glave & Holmes Architecture

JUSTIFICATION: Glave & Holmes Architecture brings to the project extensive experience in historic preservation. They have broad experience with the Commonwealth of Virginia's building code officials and they successfully completed the feasibility study for this project in 2015. This study assessed the conditions of the structure and recommended a scope of work and budget for the renovation.

PRINCIPALS
OF FIRM: H. Randolph Holmes, Jr., AIA

LOCATION: Glave & Holmes Architecture
2101 East Main Street
Richmond, Va. 23223

RECOMMENDATION: Approve the firm selected.

VIRGINIA COMMONWEALTH UNIVERSITY
Architect/Engineer Selection
West Hospital Eighth Floor Renovation

DESCRIPTION: The purpose of the project is to modernize outdated and inefficient facilities to accommodate the newly created division of cardio-oncology in two wings on the eighth floor of West Hospital.

Construction Budget\$1,640,000
Total Budget.....\$2,480,000

SOURCE OF FUNDS: School of Medicine Funds\$2,480,000

TERM CONTRACT: The limited scope of design for this project enables VCU to select the architect/engineer from a pool of architectural and engineering firms that were chosen under the University's term contract selection process.

FIRM RECOMMENDED: KOP Architects, PC

JUSTIFICATION: This firm was selected because of its extensive experience with VCU and in working on renovations of this type and magnitude.

PRINCIPALS OF FIRM: Hal Downing, Donald Guthrie, Edward Gillikin

LOCATION: 211 Ruthers Road, Suite 203
Richmond, VA 23235-5396

RECOMMENDATION: Approve the firm selected.

VIRGINIA COMMONWEALTH UNIVERSITY
Architect/Engineer Selection
West Main Street Deck Restoration

DESCRIPTION: This project includes structural repairs to the West Main Street parking deck on the Monroe Park Campus which is used by students and visitors. The work will consist of repairing deteriorated concrete, cracks in concrete columns, girders and beams, and replacement of deteriorated expansion joints. The project will also repair cracks in the stair towers and replace the elevators and the lighting.

Construction Budget\$5,040,000
Total Budget.....\$5,828,000

SOURCE OF FUNDS:

University Debt.....\$5,000,000
Parking & Transportation Funds.....\$1,000,000

TERM CONTRACT:

The limited scope of design for this project enables VCU to select the architect/engineer from a pool of architectural and engineering firms that were chosen under the University's term contract selection process.

FIRM

RECOMMENDED:

Dunbar, Milby, Williams, Pittman & Vaughan

JUSTIFICATION:

This firm was selected because of its extensive experience with VCU and in working on renovations of this type and magnitude.

PRINCIPALS OF FIRM:

Kenneth Pittman

LOCATION:

1025 Boulders Parkway
Suite 310
Richmond, VA 23225

RECOMMENDATION:

Approve the firm selected.

VIRGINIA COMMONWEALTH UNIVERSITY
Architect/Engineer Selection
MCV Campus Steam Line Installation

DESCRIPTION: The purpose of the project is to increase the capacity of the steam line to serve future buildings on the VCU and VCU Health System Master Plans.

Construction Budget\$3,200,000
Total Budget.....\$4,000,000

SOURCE OF FUNDS: Steam Plant Auxiliary Reserve.....\$4,000,000

TERM CONTRACT: The limited scope of design for this project enables VCU to select the architect/engineer from a pool of architectural and engineering firms that were chosen under the University's term contract selection process.

FIRM RECOMMENDED: Draper Aden, PC

JUSTIFICATION: This firm was selected because of its extensive experience with VCU and in working on projects of this type and magnitude.

PRINCIPALS OF FIRM: Lee O. White

LOCATION: 8090 Villa Park Drive
Richmond, VA 23228

RECOMMENDATION: Approve the firm selected.

VIRGINIA COMMONWEALTH UNIVERSITY
Amendment to 2016-2022 Six-Year Capital Plan
MCV Steam Line Installation

DESCRIPTION

This project is to upgrade the steam and condensate line along Duval Street. This line serves the northern area of the MCV Campus. The improvements will allow sufficient capacity to serve new facilities and expanded needs for steam service. The \$4,000,000 cost will be paid from MCV steam plant auxiliary reserves.

BACKGROUND

The VCU University master plan and VCU Health System master plan identify potential long term capacity deficiencies in the steam infrastructure on the north branch steam line along Duval Street. The north branch serves the N Deck (including child care center), Larrick Student Center, Cabaniss Dormitory, Biotech 1, Biotech Center, and the School of Allied Health Professions. The expanded line will serve the VCU Health System's proposed Adult Outpatient Clinic.

PURPOSE

The purpose of this project is to provide sufficient steam delivery capacity for proposed future construction of VCU Health System and University facilities.

OPERATING COST

Operating costs associated with the steam distribution are included in the rates charged to existing facilities served. As new facilities are constructed, those facilities will be charged for steam consumption.

RECOMMENDATION

Approve amendment of the 2016-2022 Six-Year Capital Plan to include the MCV steam line installation project at a cost not to exceed \$4,000,000.

VIRGINIA COMMONWEALTH UNIVERSITY
Amendment to 2016-2022 Six-Year Capital Plan
Engineering Research Expansion

DESCRIPTION

This is a request to increase the size and budget for the School of Engineering research expansion project approved for construction in the 2016 General Assembly session. The University is proposing to increase the size of the facility from 120,000 to 133,000 gross square feet and to increase the budget from \$86,000,000 to \$92,000,000. The additional \$6,000,000 in cost will be financed by the School of Engineering.

BACKGROUND

In May 2015, the Board of Visitors approved the 2016-2022 Six-Year Capital Plan which included an \$86,000,000 School of Engineering research expansion capital project. Funding was to be shared 50/50 between State- and University-supported debt. As planning progressed, the University determined that to meet program needs, the size of the project should increase from 120,000 to 133,000 gross square feet.

PURPOSE

The School of Engineering is poised for enrollment growth and anticipates reaching maximum capacity in its existing facilities in 2017. Additionally, the School has recruited top tier researchers consistent with the University's Quest for Distinction strategic plan and expects to continue on this track. In order to provide adequate instructional facilities, the School needs to construct new robust research facilities for faculty who will then vacate sub- standard laboratory space which can be converted to instructional use. This project provides a new four story research laboratory building with related support space adjacent to East Hall to enable the VCU School of Engineering to reach its strategic goals.

OPERATING COST

The annual operating cost for the building is estimated to be \$ 1,672,169 which will be paid by the School of Engineering.

RECOMMENDATION

Approve amendment of the 2016-2022 Six-Year Capital Plan to include a \$6,000,000 increase in the estimated cost of the School of Engineering research expansion project.

VIRGINIA COMMONWEALTH UNIVERSITY
Project Plan
School of Engineering Research Expansion

Purpose of the Project

The School of Engineering is poised for enrollment growth and anticipates reaching maximum capacity in its existing facilities in 2017. Additionally, the School has recruited top tier researchers consistent with the University's Quest for Distinction strategic plan and expects to continue on this track. In order to provide adequate instructional facilities, the School needs to construct new robust research facilities for faculty who will then vacate sub-standard laboratory space which can be converted to instructional use. This project provides a new four story research laboratory building with related support space adjacent to East Hall to enable the VCU School of Engineering research its strategic goals.

Location

This project is located at the northeast corner of Cary and Belvidere Street

Project Alternatives

Three alternatives were evaluated.

1. Do Nothing - This alternative would prevent the School of Engineering from meeting their strategic goals.
2. Renovation - There is no space in existing engineering facilities available for renovation.
3. New Construction - The preferred alternative is to build a new facility to allow the expansion of research facilities to meet the School's strategic goals.

Timetables

Complete Planning	May 2018
Construction Starts	August 2018
Construction Complete	June 2020

Project Design

The project includes new construction of research laboratories and related support space, career services, a collaboration hub, maker space and a vivarium to support the School of Engineering's strategic goals. The new wing will frame an enclosed courtyard with amenities to enhance student engagement and interaction.

Recommendation

Approve the project plan

CARY STREET ELEVATION



View of the courtyard looking west



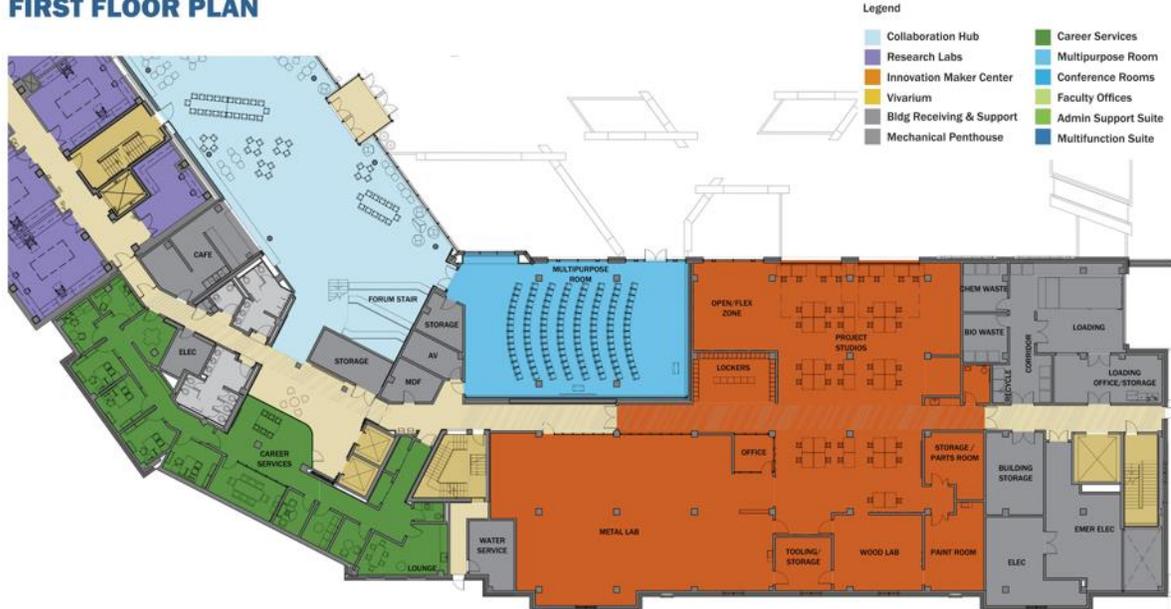
EAST ELEVATION



Basement Plan (vivarium)



FIRST FLOOR PLAN



SECOND FLOOR PLAN



VIRGINIA COMMONWEALTH UNIVERSITY
Contract Approval
Energy Performance Contract

REQUEST

This request is to amend the 6 year capital plan and approve an \$18.9 million energy performance contract with Schneider Electric.

BACKGROUND

The State has pre-qualified Energy Service Companies (ESCO) for state agencies and higher education institutions to contract with for Energy Performance Contracts (EPC). Since 2001, public entities within the Commonwealth have executed over \$761,500,000 of energy performance contracts.

Virginia Commonwealth University using the pre-qualified ESCO list, contracted with Schneider Electric, an international company with over 144,000 employees and annual revenues in excess of \$31 Bn to perform an Investment Grade Audit (IGA) of fourteen of the University's highest energy usage buildings. Schneider Electric has executed 33 ESCO projects in the Virginia higher education market segment since 2004. They have executed performance contracts at the College of William and Mary, VMI, and the Virginia Community College System. They have executed over 650 ESCO projects nationwide since 1993.

The purpose of the audit was to: 1) identify relevant Energy Conservations Measures (ECMs), 2) quantify the projected savings (approximately \$1.3 million per year guaranteed by Schneider Electric), and 3) leverage the energy savings realized to replace or repair items that are on the deferred maintenance backlog.

The current estimate of deferred maintenance is approximately \$330 million. This project will by itself reduce the backlog by \$12.8 million within 2 years¹.

The payback for this project is approximately 13.2 years. Payback is determined by taking the cost of the project and dividing it by the guaranteed annual savings. The payback period will be reduced to 8 years by augmenting the energy savings with University funds provided to reduce the deferred maintenance backlog.

A Measurement and Verification (M&V) protocol is included within the contract to monitor performance. The VCU Director of Energy and Utilities will monitor the results on a monthly Building Automation System.

PROJECT LIST:

- Aircuity - Kontos
- Aircuity - Kontos - Deferred Maintenance
- Aircuity - Sanger
- Aircuity - Smith
- Aircuity - Smith - Deferred Maintenance

¹ Overall University deferred maintenance continues to grow. An assessment is underway to update the current deferred maintenance amount and to determine the yearly growth in deferred maintenance versus current maintenance reserve funding levels.

- Boiler Upgrades - Cabell New Boiler Plant
- Boiler Upgrades - Oliver
- Building Automation System Optimization - Cabell
- Building Automation System Optimization - Kontos
- Building Automation System Optimization - Perkinson
- Building Automation System Optimization – School of Engineering West
- Building Automation System Optimization - Smith
- Building Automation System Optimization - Snead
- Building Automation System Optimization - Temple
- Building Automation System Upgrades - McGuire Annex (Steam Mains & Radiator Shutoffs)
- Building Automation System Upgrades - McGuire Hall (57 Pneumatic-Thermostats)
- Building Automation System Upgrades - Oliver (New JCI Building Automation System system)
- Building Automation System Upgrades - Sanger (Wireless Pneumatic Thermostats)
- Condensate Recovery - Kontos
- Condensate Recovery - Sanger
- Condensate Recovery - Smith
- Condensate Recovery - Temple
- Cooling Tower Optimization - Oliver
- Domestic Hot Water Reconfigure with Hot Water Boiler - Temple
- Domestic Hot Water to Natural Gas Conversion - Oliver
- Duct Sealing - Temple
- Energy Recovery - Kontos
- Energy Recovery - Smith
- Envelope - Cabell
- Envelope - Fine Arts
- Envelope - Kontos
- Envelope - McGuire
- Envelope - Oliver
- Envelope - Perkinson
- Envelope - Sanger
- Envelope – School of Engineering West
- Envelope - Smith
- Envelope - Snead
- Envelope - Temple
- Flex Joint Repair - Oliver
- Flex Joint Repair - Temple
- LED Lighting - Cabell
- LED Lighting - Fine Arts
- LED Lighting - Kontos
- LED Lighting - McGuire
- LED Lighting - Oliver
- LED Lighting - Perkinson
- LED Lighting - Sanger
- LED Lighting – School of Engineering West
- LED Lighting - Smith
- LED Lighting - Snead

- LED Lighting - Temple
- Lighting Occupancy Sensor HVAC Control - Sanger
- Power Monitoring Equipment Installation - sites TBD
- Steam Traps - Kontos
- Steam Traps - McGuire
- Steam Traps - Perkinson
- Steam Traps - Sanger
- Steam Traps - Smith
- Variable Frequency Drives - Kontos
- Variable Frequency Drives - Smith
- Water Recommissioning - Cabell
- Water Recommissioning - Fine Arts
- Water Recommissioning - Kontos
- Water Recommissioning - McGuire
- Water Recommissioning - Oliver
- Water Recommissioning - Perkinson
- Water Recommissioning - Sanger
- Water Recommissioning – School of Engineering West
- Water Recommissioning - Smith
- Water Recommissioning - Snead
- Water Recommissioning - Temple

SOURCE OF FUNDS:

University Funds\$18.9M
 To be repaid as an internal loan or from the line of credit through energy savings and
 University funds allocated to address the backlog of deferred maintenance.

RECOMMENDATION

Amend the six year capital plan and approve the contract with Schneider Electric.

VIRGINIA COMMONWEALTH UNIVERSITY
Approval of Procurement Procedures
Construction Management at Risk Procurement Procedures

DESCRIPTION

The General Assembly made significant changes to the Code of Virginia (CoV) related to Construction Management (CM) and Design-build (D-B) procurement and reporting effective July 1, 2017. See one page overview included for details on these changes.

Before VCU procedures can be implemented, they must be approved by the Board of Visitors.

Below are the Construction Management at Risk Procurement Procedures with proposed modifications (annotated in red) that meet the changes to the Code of Virginia (CoV).

RECOMMENDATION

Approve the modified Construction Management at Risk Procurement Procedures

Construction Management at Risk Procurement Procedures

Purpose:

Subject to the Management Agreement between the Commonwealth of Virginia and Virginia Commonwealth University, the university shall have and shall exercise all authority relating to the procurement of goods, services, insurance and construction. Procurement procedures for professional and construction services are identified in the Higher Education Capital Outlay (HECO) Manual adopted by Virginia Commonwealth University as approved by the Board of Visitors.

Responsible Staff:

University Planning, Design and Construction is the Facilities Management Division responsible for the procurement, administration, management and implementation of major Capital Outlay Projects.

PD&C Project Manager coordinates with PD&C management and project stakeholders to recommend an appropriate delivery method.

Directors of Design and Construction Management provide leadership, manage operations and recommend project delivery methods to meet university goals.

Associate Vice President for Facilities Management approves project delivery methods and recommends contracts for execution.

Procedures:

1. The use of the Construction Management (CM) delivery method is typically limited to complex projects where competitive sealed bidding is determined to be not practicable or advantageous to the university. The project complexity and timeline are critical components when selecting the CM delivery method.
2. If competitive sealed bidding is not selected, the PD&C Project Manager shall provide a written recommendation for the project delivery method through the Director of Construction Management to the AVPFM. The written recommendation shall state in sufficient detail why competitive sealed bidding was not practicable and/or financially advantageous to the university.
3. The PD&C Project Manager shall consider the following criteria, listed in no particular order or priority, in recommending the using the CM@Risk construction delivery method for each project:
 - a. Construction Cost
 - b. Project Complexity
 - c. Project Timeline - Schedule, schedule challenges and critical completion dates
 - d. Building Use
 - e. Project Phasing - Coordination of phased or fast-track construction
 - f. Value Engineering and/or Constructability Analysis
 - g. Quality Control/Vendor Prequalification Needs
 - h. Cost/Design Control Needs
4. Based on the written justification provided, the VCU Associate Vice President for Facilities Management (AVPFM) shall review and give the official written determination that Construction Management at Risk is the appropriate construction delivery method for the specific capital outlay project.
5. **Once the AVPFM has approved the use of Construction Management at Risk, VCU shall provide to Department of General Services their written determination that competitive sealed bidding is neither practicable nor advantageous and a completed Construction Management at Risk Procurement Submittal form identifying the project characteristics relevant to CM@Risk procurement. DGS will review and make its recommendation to this submittal within five working days.**
6. Construction Management at Risk Procurement procedures:
 - a. The Director, Construction Management shall appoint an Evaluation Committee that consists of at least three members, including at least one licensed design professional as well as representatives from the client organization.
 - b. A two-step Request for Qualifications/Request for Proposals (RFQ/RFP) process shall be utilized.
 - c. The Director of Construction Management shall develop the Request for Qualifications which shall include:
 - i. The justification for the particular delivery method.
 - ii. Statement on why sealed bidding is not practicable and/or fiscally advantageous.
 - iii. **Criteria for contractor selection**

- d. Procurement shall be initiated no later than the Schematic Design Phase unless prohibited by funding authorization restrictions.
- e. The Director, Construction Management shall prepare a Request for Qualifications containing the University's project requirements, building and site criteria, , construction cost estimate and project schedule as well as the University's justification for the use of CM@Risk.
- f. The criteria for evaluation of contractor qualifications shall be included in the RFQ, including any unique capabilities and qualifications.
- g. The RFQ shall be posted in accordance with the current requirements of the Code of Virginia for a minimum of 30 days.
- h. The Evaluation Committee shall evaluate the firms' RFQ responses and any other relevant information and determine those best qualified with respect to the criteria established for the project and included in the RFQ. Prior CM@Risk or BCOM experience shall not be a prerequisite for award.
- i. The RFQ process shall result in a short list of two to five offerors to receive the Request for Proposals. An offeror may be denied prequalification only as specified under the Code of Virginia § 2.2-4317, but the short list shall be those deemed best qualified.
- j. The Director, Construction Management shall develop the Request for Proposals. The criteria for evaluation shall be included in the RFP and the RFP shall be posted in accordance with the current requirements in the Code of Virginia for a minimum of 30 days.
- k. In addition, at least 30 days prior to the date for RFP response submission, those RFQ offerors who were not selected for the short list shall be provided written notification and the reasons for such decision. In the event that an offeror is denied prequalification, the written notification shall state the reasons for such a denial of prequalification and the factual basis of such reasons.
- l. The Evaluation Committee shall evaluate and rank the firms' Proposals. Prior CM@Risk or BCOM experience shall not be a prerequisite for award.
- m. After evaluation and ranking, the Committee shall invite the top two or three offerors for Oral Presentations/Interviews. Following the Oral Presentations, the Committee shall determine the top two firms and conduct negotiations with those offerors.
- n. The Contract shall be awarded to the offeror who is determined fully qualified and has been determined to have provided the best value in response to the RFP. The University shall notify all offerors who submitted proposals, which offer was selected for the project. When so provided in the RFP, awards may be made to more than one offeror.
- o. Upon request, documentation of the process used for the final selection shall be made available to the unsuccessful offerors.

7. Contracting Requirements for CM@Risk:
 - a. Preconstruction Services shall be contracted as a non-professional service.
 - b. **The Guaranteed Maximum Price (GMP) shall be established at the completion of Working Drawings.** If the University and CM@Risk cannot agree on a GMP, the University may competitively bid the project with the other prequalified CM@Risk offerors or enter into competitive negotiations with the other CM@Risk offerors in accordance with the requirements of the Code of Virginia.
 - c. Interim GMPs for early release packages are permitted.
 - d. 90% of the construction work under a CM@Risk contract must be subcontracted through publicly advertised sealed bidding to the maximum extent practicable.

8. Procurement Services shall identify the particular procurement method in eVA as the “category” for the solicitation, either “Construction, Construction Management” or “Construction, Design-Build”.

Reporting

After the Department of General Services has reviewed and made their recommendation regarding the procurement method for a particular project, Virginia Commonwealth University shall report to the Director of the Department of General Services the method utilized.

References

- Virginia Commonwealth University Management Agreement
- Virginia Commonwealth University Higher Education Capital Outlay Manual
- **Code of Virginia 2.2-4378 - 4383**

VIRGINIA COMMONWEALTH UNIVERSITY
Approval of Procurement Procedures
Design-Build Construction Procurement Procedures

DESCRIPTION

The General Assembly made significant changes to the Code of Virginia (CoV) related to Construction Management (CM) and Design-build (D-B) procurement and reporting effective July 1, 2017. See one page overview included for details on these changes.

Before VCU procedures can be implemented, they must be approved by the Board of Visitors.

Below are the Design-Build Construction Procurement Procedures with proposed modifications (annotated in red) that meet the changes to the Code of Virginia (CoV).

RECOMMENDATION

Approve the modified Design-Build Construction Procurement Procedures

Design-Build Construction Procurement Procedures

Purpose:

Subject to the Management Agreement between the Commonwealth of Virginia and Virginia Commonwealth University, the university shall have and shall exercise all authority relating to the procurement of goods, services, insurance and construction. Procurement procedures for professional and construction services are identified in the Higher Education Capital Outlay (HECO) Manual adopted by Virginia Commonwealth University as approved by the Board of Visitors.

Responsible Staff:

University Planning, Design and Construction is the Facilities Management Division responsible for the procurement, administration, management and implementation of major Capital Outlay Projects.

PD&C Project Manager coordinates with PD&C management and project stakeholders to recommend an appropriate delivery method.

Directors of Design and Construction Management provide leadership, manage operations and recommend project delivery methods to meet university goals.

Associate Vice President for Facilities Management approves project delivery methods and recommends contracts for execution.

Procedures:

1. The use of the Design-Build (DB) delivery method is typically limited to projects where competitive sealed bidding is determined to be not practicable or advantageous to the university. The projects are typically relatively simple and straightforward and the timeline is a critical component when selecting the DB delivery method since the procedure generally reduces the design timeline and the construction timeline, minimizes change orders, and operates on a fast-track schedule. Use of Design-Build results in a single point of contact and responsibility for both the design and construction of the project.
2. If competitive sealed bidding is not selected, the Planning and Design Project Manager shall provide a written recommendation for the project delivery method through the Director of Construction Management to the AVPFM. The written recommendation shall state in sufficient detail why competitive sealed bidding was not practicable and/or financially advantageous to the university.
3. The PD&C Project Manager shall consider the following criteria, listed in no particular order or priority, in recommending use of the Design-Build construction delivery method for each project:
 - a. Construction Cost
 - b. Project Complexity
 - c. Project Timeline - Schedule, schedule challenges and critical completion dates
 - d. Building Use
 - e. One contract with a Design-Build contractor for both professional design services and building construction services
4. Based on the written justification provided, the VCU Associate Vice President for Facilities Management (AVPFM) shall review and give the official written determination that Design-Build is the appropriate construction delivery method for the specific capital outlay project.
5. Once the AVPFM has approved the use of Design-Build, VCU shall provide to Department of General Services their written determination that competitive sealed bidding is neither practicable nor advantageous and a completed Design-Build Procurement Submittal form identifying the project characteristics relevant to DB procurement. DGS will review and make its recommendation to this submittal within five working days.
6. Design-Build Procurement procedures:
 - a. The Director, Construction Management shall appoint an Evaluation Committee that consists of at least three members, including at least one licensed design professional as well as representatives from the client organization.
 - b. A two-step Request for Qualifications/Request for Proposals (RFQ/RFP) process shall be utilized.
 - c. The Director of Construction Management shall develop the Request for Qualifications which shall include:
 - i. The justification for the particular delivery method.
 - ii. Statement on why sealed bidding is not practicable and/or fiscally advantageous.

iii. Criteria for Design-Build Team selection

- d. The Director, Construction Management shall prepare a Request for Qualifications containing the University's facility requirements, building and site data (if available), as well as the University's justification for the use of Design Build. All offerors shall be required to have a licensed Class "A" contractor and an Architect or Engineer registered in the Commonwealth of Virginia as part of the Project Team.
- e. The criteria for evaluation of the Design-Build contractor qualifications shall be included in the RFQ, including any unique capabilities and qualifications.
- f. The RFQ shall be posted in accordance with the current requirements of the Code of Virginia for a minimum of 30 days.
- g. The Evaluation Committee shall evaluate the teams' RFQ responses and any other relevant information and determine those best qualified with respect to the criteria established for the project and included in the RFQ. Prior DB or BCOM experience shall not be a prerequisite for award.
- h. The RFQ process shall result in a short list of two to five offerors to receive the Request for Proposals and project Bridging Documents. An offeror may be denied prequalification only as specified under the Code of Virginia § 2.2-4317, but the short list shall be those deemed best qualified.
- i. The criteria for evaluation shall be included in the RFP and the RFP shall be posted in accordance with the current requirements in the Code of Virginia for a minimum of 30 days.
- j. In addition, at least 30 days prior to the date for RFP response submission, those RFQ offerors who were not selected for the short list shall be provided written notification and the reasons for such decision. In the event that an offeror is denied prequalification, the written notification shall state the reasons for such a denial of prequalification and the factual basis of such reasons.
- k. Bridging Documents are prepared for the project by an A/E firm that will be precluded from submitting a Proposal, that detail the university's requirements for the project. The Bridging Documents are included as part of the Request for Proposals.
- l. Sealed Technical Proposals as described in the RFP shall be submitted to the Evaluation Committee. Separately, sealed Cost Proposals shall be submitted to the university's Virginia Construction Contracting Officer (VCCO) and shall be secured and kept sealed until evaluation of the Technical Proposals and any design adjustments are completed.
- m. The Evaluation Committee shall evaluate the teams' Technical Proposals based on the criteria contained in the RFP. It shall inform each DB offeror of any adjustments necessary to make its Technical Proposal fully comply with the requirements of the RFP. In addition, the university may require that offerors make design adjustments necessary to incorporate project improvements and/or additional detailed information identified by the Evaluation Committee during design development.

- n. Based on the adjustments requested by the Evaluation Committee, the offerors shall provide a revised Technical Proposal and cost Proposal as necessary. In addition, an offeror may submit cost modifications to its original sealed cost Proposal which are not based upon revisions to the Technical Proposals.
 - o. The Evaluation Committee shall evaluate (and rank, if technical rankings are to be considered as a criterion for award) the teams' Technical Proposals and open the Cost Proposals and apply the criteria for award as specified in the RFP. Cost is a critical component of the selection and will be evaluated according to the criteria specified in the RFP.
 - p. After evaluation and ranking, the Committee shall invite the top two or more offerors for Oral Presentations/Interviews. Following the Oral Presentations, the Committee shall determine the top two or more firms and conduct negotiations with those offerors.
 - q. The Contract shall be awarded to the offeror who is determined fully qualified and has been determined to have provided the best value in response to the RFP. The University shall notify all offerors who submitted proposals, which offer was selected for the project. When so provided in the RFP, awards may be made to more than one offeror.
 - r. Upon request, documentation of the process used for the final selection shall be made available to the unsuccessful offerors.
7. Procurement Services shall identify the particular procurement method in eVA as the "category" for the solicitation, either "Construction, Construction Management" or "Construction, Design-Build".

Reporting

After the Department of General Services has reviewed and made their recommendation regarding the procurement method for a particular project, Virginia Commonwealth University shall report to the Director of the Department of General Services the method utilized.

References

- Virginia Commonwealth University Management Agreement
- Virginia Commonwealth University Higher Education Capital Outlay Manual
- Code of Virginia 2.2-4378 - 4383

Six-Year Plans - Part I (2017): 2018-20 through 2022-24

Due: July 1, 2017

Institution:

Institution UNITID:

Individual responsible for plan

Name:

Email address:

Telephone number:

Six-Year Plans - Part I (2017): FY2016-2017
Virginia Commonwealth University
ECONOMIC DEVELOPMENT: CONTRIBUTIONS (HB515)

Requirement: As per § 23.1-306 (A) of the Code of Virginia each such plan and amendment to or affirmation of such plan shall include a report of the institution's active contributions to efforts to stimulate the economic development of the Commonwealth, the area in which the institution is located, and, for those institutions subject to a management agreement set forth in Article 4 (§ 23.1-1004 et seq.) of Chapter 10, the areas that lag behind the Commonwealth in terms of income, employment, and other factors.

Special Note: After a thorough review of existing documents and surveys, a workgroup comprised of mostly institutional members recommended that the following metrics be used to satisfy this reporting requirement. The reporting period is FY17. The metrics serve as a menu of items that institutions should respond to as applicable and available to them. Please leave fields blank, if information is unavailable.

Section A: Provide information for research and development (R&D) expenditures by source of fund with a breakdown by Science and Engineering (S&E) specific and non-S&E.

VA PLAN Strategy Reference	Section A: Research and Development (R&D) Expenditures by Source of Fund			
	Source of Funds	*S&E	Non S&E	Total
4.3	Federal Government	\$115,830,875	\$18,232,407	\$134,063,282
	State and Local Government	\$6,178,792	\$1,102,922	\$7,281,714
	Institution Funds	\$30,575,101	\$1,118,743	\$31,693,844
	Business	\$13,755,452	\$115,332	\$13,870,784
	Nonprofit Organizations	\$25,826,186	\$1,670,794	\$27,496,980
	All Other Sources	\$0	\$0	\$0
	Total	\$192,166,406	\$22,240,198	\$214,406,604
	* S&E - Science and Engineering			

Section B: Provide number and dollar value of grants, contracts and sub-agreements by discipline. If your institution prefers to report by industry, please modify table accordingly.

VA PLAN Strategy Reference	Section B: Grants, Contracts and Sub-Agreements by Discipline						
	Discipline	Category					
		Grants		Contracts		Sub-agreements	
		No.	\$ Value	No.	\$ Value	No.	\$ Value
4.3	Engineering	74	\$ 8,790,885	10	\$ 410,686	33	\$ 1,880,330
	Physical Science	22	\$ 2,474,182	1	\$ -	3	\$ 454,364
	Environmental Science	8	\$ 477,480	1	\$ 40,229	9	\$ 478,255
	Computer Science	11	\$ 1,676,358	3	\$ 124,599	6	\$ 313,303
	Life Sciences	502	\$ 97,757,410	200	\$ 21,455,150	228	\$ 20,542,032
	Psych/Social	42	\$ 9,274,668	34	\$ 2,344,554	28	\$ 2,277,389
	Other Science	8	\$ 2,076,988	0	\$ -	3	\$ 81,336
	Non-Science and Engineering (non-S&E)	39	\$ 9,634,468	14	\$ 4,761,338	77	\$ 11,610,139
	Total	706	\$ 132,162,439	263	\$ 29,136,556	387	\$ 37,637,148

Section C: For the following items, provide responses in appropriate fields. Insert an X for yes/no responses. Use Number/Amount field for other information. A Comments field has been provided for any special information your institution may want to provide.

VA PLAN Strategy Reference	Section C: General Questions			
	Yes	No	Number/Amount	Comments

4.1	Does your institution offer an innovation/ entrepreneurship/career-themed student living-learning community?	X		<p>INNOVATE, which opened fall 2015, is one of four VCU living-learning communities. The program and community fall under the daVinci Center; INNOVATE engages students in a 2-year program that provides a minimum of 4 client experiences, internships and job placement focused on entrepreneurship and product development, and a 9-credit certificate in Innovation and Entrepreneurship upon completion</p>
4.1	Does your institution offer startup incubation/accelerator programs?	X		<p>Under the auspices of the Brand Center, VCU offers startup incubation / accelerator programs to both students and faculty. Venture Creation University is the source of student startup support. VCU Innovation Gateway (IG) provides a series of programs to support faculty start-up creation, including presentations of potential ventures for vetting to the VCU Commercialization Advisory Panel, I-Corps training, SBIR/STTR training and support, Entrepreneur-in-Residence, Technology-Entrepreneur matching, Alumni venture creation, building an extensive network of advisors and entrepreneurs, investors introductions, preparing investors pitches, one-to-one consultations.</p>
4.2	Does your institution offer maker-space?	X		<p>Student maker-space is provided in the basement of Cabell Library and within the daVinci Center. The maker space in the Cabell Library is available also to all VCU faculty and staff. The School of Engineering also has student maker-space in its West Hall which is open only to its students.</p>

4.2	Does your institution have an entrepreneurship center?	X			VCU Brand Center houses two such centers - the student entrepreneurship programs under the daVinci Center and faculty programs under Innovation Economy. The daVinci Center is a collaboration among VCU's College of Humanities & Sciences, and its Schools of the Arts, Business, and Engineering. It is designed to advance innovation and entrepreneurship through cross-disciplinary collaboration. VCU is an integral part of the regional innovation ecosystem and a major source of patentable inventions in the Greater Richmond region. It supports the innovation economy by licensing inventions to existing or start-up companies to facilitate commercialization and bring new products and services to the public. This FY, 2 new products/services became available to the public. With its functions, VCU IG supports job growth in both established companies and in new ventures. In addition, VCU IG provides a
4.2	Does your institution have Executive(s)-in-Residence?	X			VCU's daVinci Center has both an entrepreneur and an innovator in residence on 1 year appointments; these in-residence positions are embedded within the institution's will continue program. VCU Innovation Gateway has Entrepreneur-in-Residence program focused on commercialization of faculty inventions. 2 start-ups were spun off in the last 2 years based on this program. One has started to generate revenues.
4.1	Number of students paid through externally funded grants or contracts.			617	Grad Assistants (314) & UG (303) get some portion of their salary paid by G&C
4.1	Number of entrepreneurship degrees/ courses/programs (credit and noncredit) offered?			2 degrees / 2 UG certificates / 57 courses / 1 living - learning program	BS in Business Administration & Management with Entrepreneurship concentration; Master's of Product Innovation; undergraduate certificates in Product Innovation and Venture Creation (2); VCU Innovate Living-Learning Program
4.1	Pertaining to question above, number of participants of these degrees/courses/programs? Include degree programs with concentrations in entrepreneurship separately as well as special trainings for students and faculty.			Student enrollment for fall 2015 and spring 2016 totaled 1,673	
4.1	Number of academic units that have courses/programs requiring a capstone project, experiential learning activities, or internships.			13	All VCU schools and colleges have programs and courses that have these requirements
4.2	Number of intellectual property licenses executed.			11	
4.2	Amount of licensing revenue resulting from intellectual property licenses executed.			\$1.8 million	
4.2	Number of university start-ups from faculty intellectual property.			3	New start-ups launched in FY 2017
4.5	Number of jobs created as a result of university start-ups during the last fiscal year.			10	Created by new start-ups this FY

4.5	Average wages of alumni living (in-state).			\$32,052	Data from SCHEV Research WG01: Wages of Graduates - used average for 2011-2012 18 months post-completion for 4-year Bachelor's degree
4.4	Number of outside organizations/businesses served, for example but not limited to companies working with your career center, companies sponsoring research, etc.	X		>2,600 unique businesses and organizations	Innovation Economy (72); Career Services (2,633); Continuing Professional Education (109); daVinci Center (38); Facilities (2); Office of Sustainability (21); Division of Community Engagement (50)
4.4	Number of units offering K-12 STEM outreach programs.			8	Education; Engineering; 5 health sciences; Humanities & Sciences
4.4	Count or estimate of K-12 STEM outreach program participants.			>820	Education (260); Engineering (DERI-18; Engineers2B -220); Health Sciences (317)
4.4	Number of units offering other outreach/extension/public service programs related to STEM-H.	X		8	Allied Health Professions; Dentistry; Education; Engineering; Humanities & Sciences; Medicine; Nursing; Pharmacy
4.4	Count or estimate of other outreach/extension/public service program participants.	X		>1,600	Education (1,000); Engineering (>100); Health Sciences-5 schools (513)
4.3	Number of Small Business Innovation Research Grants (SBIR and STTR).			2	PEG and WynnVision
4.3	Dollar value of Small Business Innovation Research Grants (SBIR and STTR).			\$1.2 million	\$234,068 for WynnVision \$973,994 for PEG
4.3	Number of Commonwealth Research and Commercialization Fund awards (CRCF).			2	1 additional grant to a VCU start-up, RTM Vaccines, total of 3
4.3	Dollar value of CRCF awards.			\$ 200,000	\$50,000 to RTM vaccines
4.1	Does your institution's tenure policy support commercialization? If yes, please provide brief explanation in comments section.	X			Patents, licensing and commercialization activities are included in consideration for tenure and promotion
4.2	Does your institution offer a seed fund and/or proof of concept fund? If yes, provide dollar amount available in FY17 in the number/amount field.	X		\$ 300,000	11 Proof of Concept awards from the Quest Commercialization Fund
4.1	Does your institution offer continuing education programs to industry? If yes, please provide dollar value or headcount for such programs in the number/amount field.	X		Unduplicated headcount through 6/15/2017 was 1,160. Related \$s total \$358,706	

Section D: These items are VCCS specific. Please provide responses in appropriate fields. A Comments field has been provided for any special information the VCCS may want to provide.

VA PLAN Strategy Reference	Section D: General Questions - VCCS Specific	Number	Value	Comments
4.1	Number and value of federal, state or private grant resources to support development of, or access to, training programs leading to workforce credentials, certifications and licensures.			
4.1	Number of training programs leading to workforce certifications and licensures.			
4.1	Number of students who earned industry recognized credentials stemming from training programs.			
4.1	Number of industry-recognized credentials obtained, including certifications and licenses.			
4.1	Number of Career/Technical Education certificates, diplomas and degrees awarded that meets regional workforce needs.			

Six-Year Plans - Part I (2017): FY2016-2017

Virginia Commonwealth University

INTELLECTUAL PROPERTY ASSIGNMENTS AND EXTERNALLY SPONSORED RESEARCH

Background

The intellectual property (IP) worksheet captures report information for the most recently ended fiscal year as required by § 23.1-102

Data Collection

Special Note: The information requested below pertains to the institution as well as any affiliated entity.

FY 2016-2017	Principal Place of Business in VA	Principal Place of Business outside VA
Number of assignments of intellectual property interests to persons or nongovernmental entities	0	0
Value of funds from persons or nongovernmental entities to support intellectual property research	\$0	\$222,453
Number of patents (by type) developed in whole or part from external projects funded by persons or nongovernmental entities:		
Patent Type - Design	0	0
Patent Type - Plant	0	0
Patent Type - Utility	0	2
Total	0	2

Definitions

Assignment: A transfer of ownership of Intellectual Property from one entity to another, including exclusive and royalty bearing

Design Patent: A patent that may be granted to anyone who invents a new, original, and ornamental design for an article of

Intellectual Property: Creations of the mind – creative works or ideas embodied in a form that can be shared or can enable others to

Nongovernmental Entities: An entity not associated with any federal, national or local government.

Patent: A property right granted by the Government of the United States of America to an inventor "to exclude others from making,

Plant Patent: A patent that may be granted to anyone who invents or discovers and asexually reproduces any distinct and new variety

Sponsored Research: Research that is supported and compensated by a sponsoring agency.

Utility Patent: A patent that may be granted to anyone who invents or discovers any new, useful, and nonobvious process, machine,

Value of Funds: Total value of all monetary and in-kind support provided by an external sponsor of Intellectual Property research.

**Six-Year Plans - Part I (2017): 2018-20 through 2022-24
Virginia Commonwealth University**

FINANCIAL AID PLAN ¹

Note: If you do not have actual amounts for Tuition Revenue for Financial Aid by student category, please provide an estimate. If values are not distributed for Tuition Revenue for Financial Aid, a distribution may be calculated for your institution.

Allocation of Tuition Revenue Used for Student Financial Aid

2015-16 (Actual)

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108) ²	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$197,351,426	\$9,897,583	5.0%	\$9,897,583
Undergraduate, Out-of-State	\$48,530,427	\$4,104,997	8.5%	\$4,104,997
Graduate, In-State	\$29,004,463	\$1,435,928	5.0%	\$1,435,928
Graduate, Out-of-State	\$29,053,798	\$1,662,204	5.7%	\$1,662,204
First Professional, In-State	\$33,139,241	\$0	%	\$0
First Professional, Out-of-State	\$26,277,259	\$0	%	\$0
Total	\$363,356,614	\$17,100,712	4.7%	\$17,100,712
In-State Sub-Total	\$259,495,130	\$11,333,511	4.4%	\$11,333,511

***2016-17 (Estimated) Please see footnote below**

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$202,353,000	\$12,397,583	6.1%	\$12,397,583
Undergraduate, Out-of-State	\$59,932,000	\$4,604,997	7.7%	\$4,604,997
Graduate, In-State	\$29,740,000	\$1,500,000	5.0%	\$1,500,000
Graduate, Out-of-State	\$28,741,000	\$1,650,000	5.7%	\$1,650,000
First Professional, In-State	\$33,563,000	\$0	%	\$0
First Professional, Out-of-State	\$29,635,000	\$0	%	\$0
Total	\$383,964,000	\$20,152,580	5.2%	\$20,152,580
Total from Finance-T&F worksheet	\$383,964,000	\$0	%	\$0
In-State Sub-Total	\$265,656,000	\$13,897,583	5.2%	\$13,897,583

2017-18 (Planned)

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$209,532,000	\$15,217,423	7.3%	\$15,217,423
Undergraduate, Out-of-State	\$59,752,000	\$4,780,160	8.0%	\$4,780,160
Graduate, In-State	\$29,099,000	\$1,500,000	5.2%	\$1,500,000
Graduate, Out-of-State	\$29,178,000	\$1,650,000	5.7%	\$1,650,000
First Professional, In-State	\$36,287,000	\$0	%	\$0
First Professional, Out-of-State	\$30,234,000	\$0	%	\$0
Total	\$394,082,000	\$23,147,583	5.9%	\$23,147,583
Total from Finance-T&F worksheet	\$394,082,000	\$0	%	\$0
In-State Sub-Total	\$274,918,000	\$16,717,423	6.1%	\$16,717,423
Additional In-State	\$9,262,000	\$2,819,840	30.4%	\$2,819,840

2018-19 (Planned)

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$221,122,000	\$17,698,623	8.0%	\$17,698,623
Undergraduate, Out-of-State	\$63,112,000	\$5,048,960	8.0%	\$5,048,960
Graduate, In-State	\$29,596,000	\$1,550,000	5.2%	\$1,550,000
Graduate, Out-of-State	\$30,105,000	\$1,725,000	5.7%	\$1,725,000
First Professional, In-State	\$37,285,000	\$0	%	\$0
First Professional, Out-of-State	\$31,183,000	\$0	%	\$0
Total	\$412,403,000	\$26,022,583	6.3%	\$26,022,583
Total from Finance-T&F worksheet	\$412,403,000	\$0	%	\$0
In-State Sub-Total	\$288,003,000	\$19,248,623	6.7%	\$19,248,623
Additional In-State	\$13,085,000	\$2,531,200	19.3%	\$2,531,200
Additional In-State from Financial Plan		\$4,596,000	#DIV/0!	

2019-20 (Planned)

T&F Used for Financial Aid	Gross Tuition Revenue	Tuition Revenue for Financial Aid (Program 108)	% Revenue for Financial Aid	Distribution of Financial Aid
Undergraduate, In-State	\$231,421,000	\$20,714,783	9.0%	\$20,714,783
Undergraduate, Out-of-State	\$66,035,000	\$5,282,800	8.0%	\$5,282,800
Graduate, In-State	\$30,776,000	\$1,600,000	5.2%	\$1,600,000
Graduate, Out-of-State	\$31,301,000	\$1,775,000	5.7%	\$1,775,000
First Professional, In-State	\$38,775,000	\$0	%	\$0
First Professional, Out-of-State	\$32,422,000	\$0	%	\$0
Total	\$430,730,000	\$29,372,583	6.8%	\$29,372,583
Total from Finance-T&F worksheet	\$430,730,000	\$0	%	\$0
In-State Sub-Total	\$300,972,000	\$22,314,783	7.4%	\$22,314,783
Additional In-State	\$12,969,000	\$3,066,160	23.6%	\$3,066,160
Additional In-State from Financial Plan		\$7,596,000	#DIV/0!	

¹ Additional in-state aid identified in the Financial Plan is included in Strategy #2, and reflects a combination of \$3 million in additional need-based aid each year along with funding for the 4th cohort of the Virginia Merit Award for freshmen entering Fall 2018

² Data appearing for 2015-2016 actuals for UG and graduate Program 108 financial aid will not tie to S1/S2 report submitted by VCU for this same period. Our submission mistakenly showed tuition-funded financial aid in Section I. Unfunded Scholarships, as well as Section II. T&F Revenue Used for Financial Aid. We have clarified appropriate coding for these entries with SCHEV leadership (7/19/2017) and have been advised to leave 2015-2016 submission unchanged, but change methodology for future submissions.

* Please note that the totals reported here will be compared with those reported by the financial aid office on the institution's annual S1/S2 report. Since the six-year plan is estimated and the S1/S2 is "actual," the numbers do not have to match perfectly but these totals should reconcile to within a reasonable tolerance level. Please be sure that all institutional offices reporting tuition/fee revenue used for aid have the same understanding of what is to be reported for this category of aid.

Six-Year Plans - Part I (2017): 2018-20 through 2022-24
Virginia Commonwealth University

Six-Year Financial Plan for Tuition and Fee Increases and Nongeneral Fund Revenue Estimates

Items	2016-2017 (Estimated)		2017-2018 (Estimated)			2018-2019 (Planned)			2019-2020 (Planned)		
	Student Charge	Total Revenue	Student Charge	Rate Increase	Total Revenue	Student Charge	Rate Increase	Total Revenue	Student Charge	Rate Increase	Total Revenue
E&G Programs											
Undergraduate, In-State	\$10,989	\$202,352,924	\$11,483	4.5%	\$209,232,214	\$11,941	4.0%	\$220,596,091	\$12,417	4.0%	\$229,410,468
Undergraduate, Out-of-State	\$30,146	\$59,931,851	\$31,515	4.5%	\$59,667,330	\$32,768	4.0%	\$62,964,325	\$34,070	4.0%	\$65,463,995
Graduate, In-State	\$11,036	\$29,740,498	\$11,526	4.4%	\$29,098,755	\$11,986	4.0%	\$29,596,169	\$12,464	4.0%	\$30,604,364
Graduate, Out-of-State	\$23,164	\$28,741,168	\$24,207	4.5%	\$29,177,716	\$25,167	4.0%	\$30,105,101	\$26,166	4.0%	\$31,126,018
Law, In-State	\$0	\$0	\$0	%	\$0	\$0	%	\$0	\$0	%	\$0
Law, Out-of-State	\$0	\$0	\$0	%	\$0	\$0	%	\$0	\$0	%	\$0
Medicine, In-State	\$29,936	\$13,575,526	\$30,442	1.7%	\$14,154,784	\$31,658	4.0%	\$14,002,237	\$32,923	4.0%	\$14,561,056
Medicine, Out-of-State	\$47,761	\$17,891,109	\$49,676	4.0%	\$16,771,639	\$51,655	4.0%	\$17,477,239	\$53,713	4.0%	\$16,671,942
Dentistry, In-State	\$35,098	\$8,539,593	\$37,544	7.0%	\$10,023,297	\$39,044	4.0%	\$10,500,469	\$40,605	4.0%	\$10,919,689
Dentistry, Out-of-State	\$62,362	\$8,552,442	\$66,708	7.0%	\$9,997,418	\$69,368	4.0%	\$10,259,145	\$72,135	4.0%	\$10,666,979
PharmD, In-State	\$25,975	\$11,447,422	\$26,621	2.5%	\$12,109,087	\$27,684	4.0%	\$12,783,242	\$28,790	4.0%	\$13,293,500
PharmD, Out-of-State	\$37,994	\$3,191,646	\$38,960	2.5%	\$3,464,879	\$40,510	4.0%	\$3,446,998	\$42,123	4.0%	\$3,583,933
Veterinary Medicine, In-State	\$0	\$0	\$0	%	\$0	\$0	%	\$0	\$0	%	\$0
Veterinary Medicine, Out-of-State	\$0	\$0	\$0	%	\$0	\$0	%	\$0	\$0	%	\$0
Other NGF		\$43,109,888			\$43,756,000			\$44,412,000			\$45,078,000
Total E&G Revenue - Gross		\$427,074,068			\$437,453,119			\$456,143,016			\$471,379,943
Total E&G Revenue - Net of Financial Aid		\$406,921,488			\$414,305,536			\$430,120,433			\$442,007,360
E&G Revenue Used for Faculty Salary Increases		\$0			\$3,484,215			\$2,961,674			\$4,150,525
Average T&R Faculty Salary Increase Rate		0.00%			3.00%			3.00%			3.00%

Auxiliary Program											
Mandatory Non-E&G Fees											
Undergraduate	\$2,141		\$2,141	0.0%		\$2,239	4.6%		\$2,342	4.6%	
Graduate	\$2,107		\$2,107	0.0%		\$2,205	4.7%		\$2,308	4.7%	
Law	\$0		\$0	%		\$0	%		\$0	%	
Medicine	\$2,492		\$2,492	0.0%		\$2,590	3.9%		\$2,693	4.0%	
Dentistry	\$2,977		\$2,987	0.3%		\$3,075	2.9%		\$3,178	3.3%	
PharmD	\$2,137		\$2,137	0.0%		\$2,235	4.6%		\$2,338	4.6%	
Veterinary Medicine	\$0		\$0	%		\$0	%		\$0	%	
Total Auxiliary Revenue (ALL including room and board)		\$151,822,000			\$156,600,000			\$161,562,000			\$166,716,000

Total Tuition and Fees											
Undergraduate, In-State	\$13,130		\$13,624	3.8%		\$14,180	4.1%		\$14,759	4.1%	
Undergraduate, Out-of-State	\$32,287		\$33,656	4.2%		\$35,007	4.0%		\$36,412	4.0%	
Graduate, In-State	\$13,143		\$13,633	3.7%		\$14,191	4.1%		\$14,772	4.1%	
Graduate, Out-of-State	\$25,271		\$26,314	4.1%		\$27,372	4.0%		\$28,474	4.0%	
Law, In-State	\$0		\$0	%		\$0	%		\$0	%	
Law, Out-of-State	\$0		\$0	%		\$0	%		\$0	%	
Medicine, In-State	\$32,428		\$32,934	1.6%		\$34,248	4.0%		\$35,616	4.0%	
Medicine, Out-of-State	\$50,253		\$52,168	3.8%		\$54,245	4.0%		\$56,406	4.0%	
Dentistry, In-State	\$38,075		\$40,531	6.5%		\$42,119	3.9%		\$43,783	4.0%	
Dentistry, Out-of-State	\$65,339		\$69,695	6.7%		\$72,443	3.9%		\$75,313	4.0%	
PharmD, In-State	\$28,112		\$28,758	2.3%		\$29,919	4.0%		\$31,128	4.0%	
PharmD, Out-of-State	\$40,131		\$41,097	2.4%		\$42,745	4.0%		\$44,461	4.0%	
Veterinary Medicine, In-State	\$0		\$0	%		\$0	%		\$0	%	
Veterinary Medicine, Out-of-State	\$0		\$0	%		\$0	%		\$0	%	

Student Financial Aid (Program 108)		\$20,152,580			\$23,147,583			\$26,022,583			\$29,372,583
Sponsored Programs (Program 110)		\$273,000,000			\$276,000,000			\$279,000,000			\$282,000,000
Unique Military Activities		\$0			\$0			\$0			\$0
Workforce Development		\$0			\$0			\$0			\$0
Statewide Service (Program 430)		\$26,575,000			\$27,027,000			\$28,147,000			\$28,991,416

Six-Year Plans - Part I (2017): 2018-20 through 2022-24
Virginia Commonwealth University

ACADEMIC AND FINANCIAL PLAN

Instructions: In the column entitled "Academic and Support Service Strategies for Six-Year Period (2018-2024)," please provide titles to identify strategies (for the three biennia of this six-year period) associated with goals in the Virginia Plan. *Please use this title to identify a more detailed description of the strategy in the separate Word document (Part II - Narrative).*

ACADEMIC AND SUPPORT SERVICE STRATEGIES FOR SIX-YEAR PERIOD (2018-2024)										
Priority Ranking	Biennium 2018-2020 (7/1/18-6/30/20)		Cost: Incremental, Savings, Reallocation				Narrative		Narrative	
	Strategies (Short Title)	VP Goal	2018-2019		2019-2020		Information for 2018-19 and/or for Biennium 2020-2022 (7/1/20-6/30/22)		Information for 2019-20 and/or for Biennium 2022-2024 (7/1/22-6/30/24)	
			Total Amount	Amount From Tuition Revenue	Total Amount	Amount From Tuition Revenue				
1	Continue Implementation and Expand iCubed	2,3,4	Incremental: \$3,711,221	\$3,711,221	\$3,185,947	\$3,185,947	Support iCubed faculty recruitment and retention, visiting scholars program, postdoc fellows and research and outreach programs outlined in iCubed strategic plan	Support iCubed faculty recruitment and retention, visiting scholars program, postdoc fellows and research and outreach programs outlined in iCubed strategic plan		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$0	\$0	\$0	\$0				
2	Increase Student Financial Aid with Additional Need-based Aid, Availability of Scholarships and Expanded Graduate Student Assistantships & Stipends	1	Incremental: \$5,610,719	\$5,610,719	\$9,641,615	\$9,641,615	Continue to increase funds available to UG need-based students, fund 4th cohort of Virginia Merit Award scholarship and increase GSA stipend amount and number of funded GSAs	Continue to increase funds available to UG need-based students, fund 4th cohort of Virginia Merit Award scholarship and increase GSA stipend amount and numbers of funded GSAs		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$0	\$0	\$0	\$0				
4	Implement REAL Activities and Measure Impact	1,2,4	Incremental: \$0	\$0	\$0	\$0	Support implementation of Relevant Experiential and Applied Learning (REAL) activities and begin to measure impact on student progression and completion arising from their participation	Support implementation of Relevant Experiential and Applied Learning (REAL) activities and begin to measure impact on student progression and completion arising from their participation		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$250,000	\$0	\$500,000	\$0				
5	Strengthen Timely Degree Completion through Enhanced Student Advising and Student Support Technologies	2,3	Incremental: \$1,886,105	\$1,886,105	\$1,939,363	\$1,939,363	Implement final phase of Academic Advising Initiative to expand # of professional advising staff, and continue to enhance student support technologies, including EAB Campus platform	Implement final phase of Academic Advising Initiative to expand # of professional advising staff, and continue to enhance student support technologies, including EAB Campus platform		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$0	\$0	\$0	\$0				
6	Increase Maintenance Reserve (note: new O&M appears as separate priority in spreadsheet below)	3	Incremental: \$1,000,000	\$1,000,000	\$2,000,000	\$2,000,000	Continue strategy to steadily increase funds assigned to maintenance reserve to address backlog demands	Continue strategy to steadily increase funds assigned to maintenance reserve to address backlog demands		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$0	\$0	\$0	\$0				
7	Strengthen Support for Massey Cancer Center	3,4	Incremental: \$1,950,000	\$0	\$1,950,000	\$0	Massey has received generous and continual support from the State General Assembly as Virginia's only NCI-designated cancer center. We assume a level of continuing State support.	Massey has received generous and continual support from the State General Assembly as Virginia's only NCI-designated cancer center. We assume a level of continuing State support.		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$0	\$0	\$0	\$0				
8	Expand Online@VCU	1,2	Incremental: \$0	\$0	\$0	\$0	Develop and launch additional online courses and programs; expand enrollment in online activities and enhance faculty engagement in online course design and delivery	Develop and launch additional online courses and programs; expand enrollment in online activities and enhance faculty engagement in online course design and delivery		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$2,500,000	\$0	\$5,000,000	\$0				
9	Implement Health Equity Plan (focused on population health, community engagement)	3,4	Incremental: \$100,000	\$0	\$200,000	\$0	Program addresses social determinants of health, with incremental funding directed from VCU Health System	Program addresses social determinants of health, with incremental funding directed from VCU Health System		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$0	\$0	\$0	\$0				
11	Advance Strategic Research Opportunities (VRIF)	3	Incremental: \$350,000	\$0	\$350,000	\$0	Represents incremental funding from State General Funds assigned to VRIF awards in 2018 if VCU receives an award	Represents incremental funding from State General Funds assigned to VRIF awards in 2018 if VCU receives an award		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$400,000	\$0	\$400,000	\$0				
13	Expand, enhance and coordinate opioid abuse education, training and interventional programs	3	Incremental: \$1,000,000	\$0	\$1,000,000	\$0	Opioid addiction and abuse was recognized by Governor McAuliffe as a public health emergency in 2016 for the Commonwealth. This program's success will be built upon a partnership with the State.	Opioid addiction and abuse was recognized by Governor McAuliffe as a public health emergency in 2016 for the Commonwealth. This program's success will be built upon a partnership with the State.		
			Savings: \$0	\$0	\$0	\$0				
			Reallocation: \$500,000	\$0	\$500,000	\$0				
Total 2018-2020 Costs										
Incremental (Included in Financial Plan line 61)			\$15,608,045	\$12,208,045	\$20,266,925	\$16,766,925				
Savings			\$0	\$0	\$0	\$0				
Reallocation			\$3,650,000	\$0	\$6,400,000	\$0				
Six-Year Financial Plan for Educational and General Programs, Incremental Operating Budget Need										
2018-2020 Biennium										
(Assuming No Additional General Fund)										
			2018-2019		2019-2020		2016-17		2017-18	
Items			Total Amount	Amount From Tuition Revenue	Total Amount	Amount From Tuition Revenue	Salary Increase Rate and Tuition Amount		Total Amount	Amount From Tuition Revenue
Total Incremental Cost from Academic Plan¹			\$15,608,045	\$12,208,045	\$20,266,925	\$16,766,925				

Six-Year Plans - Part I (2017): 2018-20 through 2022-24
Virginia Commonwealth University

ACADEMIC AND FINANCIAL PLAN

Instructions: In the column entitled "Academic and Support Service Strategies for Six-Year Period (2018-2024)," please provide titles to identify strategies (for the three biennia of this six-year period) associated with goals in the Virginia Plan. *Please use this title to identify a more detailed description of the strategy in the separate Word document (Part II - Narrative).*

Priority Ranking	ACADEMIC AND SUPPORT SERVICE STRATEGIES FOR SIX-YEAR PERIOD (2018-2024)							
	Biennium 2018-2020 (7/1/18-6/30/20)				Narrative		Narrative	
	Strategies (Short Title)	VP Goal	Cost: Incremental, Savings, Reallocation				Information for 2018-19 and/or for Biennium 2020-2022 (7/1/20-6/30/22)	Information for 2019-20 and/or for Biennium 2022-2024 (7/1/22-6/30/24)
			2018-2019		2019-2020			
Total Amount			Amount From Tuition Revenue	Total Amount	Amount From Tuition Revenue			
3	Increase T&R Faculty Salaries ^{2(a)}	\$5,316,109	\$2,171,296	\$9,658,702	\$5,507,732	\$0	\$4,093,310	\$2,554,387
	T&R Faculty Salary Increase Rate ^{3(a)}	3.0%	1.5%	3.0%	1.5%	0.0%	3.0%	1.0%
3	Increase Admin. Faculty Salaries ²	\$1,534,714	\$790,378	\$3,115,469	\$1,604,467	\$0	\$1,490,013	\$929,827
	Admin. Faculty Salary Increase Rate	3.0%	1.5%	3.0%	1.5%	0.0%	3.0%	1.0%
3	Increase Classified Staff Salaries ²	\$2,796,272	\$1,440,080	\$5,676,432	\$2,923,362	\$0	\$2,714,827	\$1,440,080
	Classified Salary Increase Rate	3.0%	1.5%	3.0%	1.5%	0.0%	3.0%	0.0%
	Increase University Staff Salaries ²	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	University Staff Salary Increase Rate	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
10	Increase Number of Full-Time T&R Faculty ^{4(\$)}	\$896,780	\$896,780	\$3,298,868	\$3,298,868			
	Increase Number of Full-Time T&R Faculty ^{4(FTE)}	7	0	25	0			
	Increase Number of Full-Time Admin. Faculty ^{4(\$)}	\$0	\$0	\$0	\$0			
	Increase Number of Full-Time Admin. Faculty ^{4(FTE)}	0	0	0	0			
3	Increase Number of Part-Time Faculty ^{4(\$)} ^(b)	\$1,019,726	\$0	\$1,512,153	\$1,512,153			
	Increase Number of Part-Time Faculty ^{4(FTE)} ^(b)	0	0	0	0			
	Increase Number of Classified Staff ^{4(\$)}	\$0	\$0	\$0	\$0			
	Increase Number of Classified Staff ^{4(FTE)}	0	0	0	0			
	Increase Number of University Staff ^{4(\$)}	\$0	\$0	\$0	\$0			
	Increase Number of University Staff ^{4(FTE)}	0	0	0	0			
	Library Enhancement ^{4(\$)}	\$0	\$0	\$0	\$0			
	Library Enhancement ^{4(FTE)}	0	0	0	0			
	Technology Enhancement ^{4(\$)}	\$0	\$0	\$0	\$0			
	Technology Enhancement ^{4(FTE)}	0	0	0	0			
12	O&M for New Facilities ^{4(\$)}	\$73,900	\$73,900	\$503,343	\$503,343			
	O&M for New Facilities ^{4(FTE)}	\$0	\$0	\$0	\$0			
	Utility Cost Increase	\$0	\$0	\$0	\$0			
	NGF share of state authorized salary increase/bonus	\$0	\$0	\$0	\$0			
	Fringe/health insurance benefits increase	\$0	\$0	\$0	\$0			
	VRS increase	\$0	\$0	\$0	\$0			
	Additional In-State Student Financial Aid From Tuition Revenue	\$0	\$0	\$0	\$0			
	Others (Specify, insert lines below)	\$0	\$0	\$0	\$0			
	Safety and Security Enhancement	\$0	\$0	\$0	\$0			
	Total Additional Funding Need	\$27,245,546	\$17,580,479	\$44,031,893	\$32,116,851			

SCHEV Notes:

- (1) Please ensure that these items are not double counted if they are already included in the incremental cost of the academic plan.
- (2) If planned, enter the cost of any institution-wide increase.
- (3) Enter planned annual faculty salary increase rate. Any salary increase entered here will be counted when calculating the gap to reach the 60th percentile in the future.
- (4) Enter number of FTE change over the FY2018 level in appropriate columns.

VCU Footnotes:

- (a) Includes funding to support not only annual merit-based increases for T&R faculty but also incremental dollars needed to cover 10% increase to base salary upon promotion. Percent of salary increase reflected on line 54 represents only the merit-based portion of these increases.
- (b) Incremental funds to increase the average per credit hour salary for adjunct faculty to \$1,000 in FY 2019 (funded entirely from reallocation) and \$1,100 in FY 2020. No additional FTEs associated with these funds (funded from tuition revenue).



VCU Six-Year Plan – Part II (2017): 2018-20 through 2022-24

A. Institutional Mission

VCU developed its current mission and vision statements as part of its last strategic planning process. The resulting plan, *VCU Quest for Distinction*, has provided guidance around strategic priorities for the fiscal years (FY) 2012 through 2018. In January 2017, VCU launched its next strategic planning effort, which will encompass FY 2019 through 2025. The institution's continued commitment to excellence and access will be at the heart of the new plan. VCU will submit details of this new plan to its Board of Visitors for final approval in May 2018. As such, VCU's 2017 Six-Year Plan spans the period between the end of the current strategic plan and the start of the next. There is a possibility that institutional priorities may change under the new plan, which could lead to material changes in enrollment projections and investment requirements. VCU's mid-term update to its Six-Year Plan (due July 1, 2018) will call out any material changes that occur because of the new strategic plan.

Mission statement

As the premier urban, public research university in Virginia, VCU's mission is to advance knowledge and student success through its commitments to:

- An engaged, learner-centered environment that fosters inquiry, discovery and innovation in a global setting;
- Research that expands the boundaries of new knowledge and creative expression and promotes translational applications to improve human health;
- Interdisciplinary collaborations that bring new perspectives to complex problems and mobilize creative energies that advance innovation and solve global challenges;
- Health care that strives to preserve and restore health for all people, to seek the cause and cure of diseases through groundbreaking research, and to educate those who serve humanity;
- Diversity that provides a climate of inclusion, a dedication to addressing disparities wherever they exist and an opportunity to explore and create in an environment of trust; and
- Sustainable, university-community partnerships that enhance the educational, economic and cultural vitality of the communities VCU serves in Virginia and around the world.

Quest for Distinction focuses around three strategic themes:



VCU

- Theme I: Become a leader among national research universities in providing all students with high-quality learning/living experiences focused on inquiry, discovery and innovation in a global environment;
- Theme II: Attain distinction as a fully integrated urban, public research university through contributions in human health, research, scholarship and creative expression that advance knowledge and enhance the quality of life; and
- Theme III: Become a national model for community engagement and regional impact.

Vision statement

VCU will be a premier urban, public research university distinguished by its commitment to:

- The intellectual and academic success of a diverse student body;
- Research and discovery that advances knowledge, inspires creativity and improves human health; and
- The global engagement of students, faculty and staff that transforms lives and communities.

B. Additional Description of Proposed Strategies

1. Continue implementation and expansion of iCubed

The summer 2015 launch of VCU's Institute for Inclusion, Inquiry and Innovation (iCubed or Institute) signaled the beginning of an aggressive two-year effort to define and support transdisciplinary cores focused on the creative integration of multiple communities of knowledge to solve societally relevant challenges. iCubed reflects VCU's commitment to engage urban communities in transformational change. The collective visioning and work to promote diversity and inclusion in research, scholarship and creative activity is unprecedented for VCU and unmatched by even our aspirational peers. The Institute formed five transdisciplinary teams to promote these goals and to catalyze recruitment of diverse and progressive faculty who endeavor to create inclusive education contexts for our students.

- Culture, Race and Health: addresses how culture and race/ethnicity impact health and overall well-being among individuals experiencing health disparities; engages in collaborative team science to understand the mechanisms underlying health disparities and also develop culturally informed interventions; develops interventions to prevent health disparities
- Health and Wellness in Aging Populations: addresses problems of older and disabled adults "aging in place" within low-income senior housing apartment buildings and



- surrounding neighborhoods in urban Richmond; focuses on development of interprofessional education and collaborative care practice model
- Oral Health in Childhood and Adolescence: seeks to identify and remove the educational, political, psychological, social and nutritional barriers to the prevention and treatment of dental caries (tooth decay) in the children and adolescents of Richmond; promotes teamwork toward innovative solutions for improving oral and overall health outcomes for children and adolescents
 - Racial Equity, Arts and Culture: fosters critical dialogue about and develops mechanisms for advancing the fair treatment of people of all races in and through arts and culture; engages faculty and students in efforts to help improve the local arts infrastructure from an equity lens; develop mechanisms for providing technical assistance to local artists and organizations advancing work aligned with the core's mission; and work to implement the cultural equity-oriented recommendations from the 2009 Greater Richmond Cultural Action Plan
 - Social Justice: addresses structural inequalities and racism and their collective impact on economic mobility, educational achievement and overall well-being; goal is to make significant and meaningful changes in equality around food security, education, well-being and economic status in Richmond

At the heart of iCubed is the targeted recruitment of talented and diverse faculty and postdocs. The Institute engaged in a robust and highly selective national search in FY 2017 for these positions, completing 90% of all actively searched positions, with 17 new faculty, visiting scholars and postdocs added to VCU's faculty complement. This includes 8 new tenure track and 1 term faculty, 5 visiting scholars, and 3 postdocs. Five new searches will launch in FY 2018 for fall 2018 arrival. In addition, iCubed is committed to converting the 5 visiting scholar positions recruited in the initial round to tenure track positions in FY 2019. These efforts will contribute to VCU's goal of increasing the number of tenured and tenure track faculty.

Over the coming biennium, iCubed will not only complete recruitment for its initial transdisciplinary cores, it will expand discussions with involved stakeholders to plan the development of new transdisciplinary core teams in children's health, K-12 math and science improvement, and violence prevention. These discussions and final decisions will inform program expansion and recruitment plans along with funding requirements for the next biennium.

Note: VCU is funding this initiative through tuition revenue for permanent (faculty positions) and one-time (start-up) expenses; this is reflected in the reduction in costs for FY20.



2. Increase student financial aid

Postsecondary education plays an increasingly important role in ensuring one's ability to participate and be successful in a vital U.S. and global economy. The cost of public higher education continues to rise, driven by a combination of reduced state support, higher regulatory and infrastructure requirements, increased student demand, steady growth in the cost of living, and rising tuition rates. At the same time, the percentage of students entering higher education coming from the bottom two family income quartiles continues to grow. VCU has seen the number and percent of in-state students with need increase from 11,175 (56.2%) to 12,019 (59.5%) from 2011-2012 to 2014-2015. By fall 2016, VCU had over 6,200 in-state undergraduates whose annual family income was below \$50,000, a number that was 50% greater than students coming from the same family income levels at William & Mary, UVA and Virginia Tech combined.

During the 2018-20 biennium, VCU will pursue a three-pronged approach to increase financial assistance to its students, with particular emphasis on enhancing support provided to in state, undergraduate students with high need.

Provide additional need-based aid

VCU has a long-standing tradition of attracting, educating and graduating Virginia's neediest students. Using eligibility for federally funded Pell grants as a measure of financial need, resident Pell-eligible students made up more than 31% (6,709) of the undergraduate, in state student body in 2015-2016. This number increased to over 6,800 and 33% of in state undergraduate students in fall 2016. VCU has more Pell-eligible students than its three Tier III peers combined. One measure of the institution's success has been its effectiveness at graduating Pell-eligible students at nearly the same rate as non-Pell-eligible students. Despite our success in terms of access and progression, affordability continues to be a significant concern, not only to students and their families, but also among VCU's leadership and Board of Visitors. Since FY 2015, VCU has increased financial aid to in-state undergraduate students by nearly \$5 million from a combination of reallocation and an increased percent of tuition revenue directed towards student aid. During the new biennium, VCU will continue to increase its undergraduate financial aid fund by \$3 million each year.

Increase availability of scholarships

VCU will enroll the fourth cohort of approximately 750 new, incoming freshmen receiving the Virginia Merit Award in fall 2018. This award, coming from E&G funds, provides \$3,000 annually to academically competitive students for up to four years of



VCU

enrollment at VCU. While need is not a factor in awarding this renewable scholarship, approximately one-third of the students in previous cohorts have been Pell-eligible.

Student scholarships have always been an important component of student financial assistance at VCU, although historically, the total funds available have been significantly less than the institution's Tier III peers because of lesser endowment levels. With an overall goal of \$750 million, the Make It Real Campaign for VCU publically launched in fall 2016 with the institution's most aggressive fundraising effort in its history. The campaign spans a period that began with a quiet phase in July 2012 and will continue through June 2020. As of June 2017, VCU has reached two-thirds of its goal, having raised more than \$500 million. These funds have endowed 216 scholarships and other student support funds to date. While our Part I submission does not assign a financial target from development funds, we plan to add new scholarships and forms of support to our students as we continue to make progress with our fundraising efforts.

Expand graduate student assistantships and stipends

VCU continues to lag behind its peer institutions in both the number of graduate assistantships supported and the stipend level offered, a significant disadvantage when competing against these institutions for the most promising Ph.D. students. Research funding at VCU is closely correlated with doctoral student enrollment. There is a significant positive relationship between increases in external research funding and doctoral enrollment. Each \$1 invested in graduate assistantship support correlates with \$100 in research funding.

Recognizing the disadvantage lower stipends have created for VCU in attracting talented Ph.D. students, the Graduate School began increase the stipend amount by \$1,000 each year, reaching \$23,000 per funded GSA for the 2016-2017 academic year. Since the university was unable to provide additional funds to expand the stipend from incremental resources over the past three years, the School has reduced the number of stipend-supported graduate student assistantships (GSAs) to free up the necessary funds. The FY 2018 budget increased the \$24,000 stipend level, with 214 stipend-funded GSAs.

VCU's goal during the new biennium is to increase the number of new graduate student assistantships by 22 in FY 2019 and by an additional 21 new assistantships in FY 2020. This will bring the complement of stipend-funded GSAs to 357 by the end of the new biennium. In addition, we plan to continue to increase the stipend by \$1,000 each year, to reach \$26,000 by FY 2020.



As requested, a separate narrative regarding VCU's financial aid strategies for low- and middle-income students, reflecting both need- and merit-based aid, is included in Section C. As indicated in Part 1, funding for this very high priority item will come from tuition.

3. Provide annual salary increases to faculty and staff

A critical VCU priority is to provide equitable compensation for all of our employees – faculty and staff - and to recognize their contributions with periodic opportunities to receive increases to base salaries. Institutional climate surveys conducted in winter 2013 and again in winter 2016 identified compensation as employees' # 1 concern, regardless of rank, position or employee type. VCU is supportive of efforts by the state to provide funding for such increases annually. We greatly appreciated the support for increases averaging 2% in FY 2014 and again for FY 2016. Those gains, along with the additional 2.5% merit option granted to institutions for teaching and research (T&R) faculty in FY 2016, and the state-approved 3% increase for FY 2018, are helping VCU to address salary concerns. These increases, however, have not been sufficient to address compression issues caused by a long period without such base increases and the two-year gaps between state-supported increases. In light of state budgetary concerns, VCU did not opt to implement a salary increase in FY2017 and instead provided only a merit-based bonus to its full-time faculty. New faculty of promise in competitive fields continue to be hired at higher salaries than existing faculty who have more experience and hold higher ranks. As for university and classified staff, Richmond is proving to be an increasingly competitive labor market, stressing the university's ability to sustain market-based salaries for its labor force.

Faculty salaries at VCU are low and we continue to lose ground compared to other Virginia R-1 institutions and to national peers. For all ranks, the average VCU T&R faculty salary reported by AAUP for FY 2017 was \$81,300 compared to George Mason at \$95,600, the University of Virginia at \$125,600 and Virginia Tech at \$102,000. In the Joint Legislative Audit and Review Commission's (JLARC) December 2013 *Report of Academic Spending and Workload at Virginia's Higher Education Institutions*, staff analysis of SCHEV data on peer group percentiles reported average VCU faculty salary for FY 2012 (using AAUP average at \$78,500) was \$10,000 below the 60th percentile of its peers. Over the subsequent five years, VCU's average faculty salary has increased just 3.6% to \$81,300, while UVA and Tech have both been able to raise average faculty salaries by more than 14%. Only George Mason lagged VCU in terms of average gains over the period.

VCU's goal remains an increase to the 60th percentile of our national peers and/or faculty salaries comparable to the Commonwealth's research universities. To continue progress towards that goal, as well as to maintain market competitiveness for other types of employees, VCU has included the full cost of a 3%, merit-based increase for all eligible

employees each year as well as normal promotion and tenure funding. As reflected in Part 1, this priority assumes partial State support to realize the 3% annual increase. VCU is committed to funding lower increases (1.5%) if the State support is not able to continue its efforts to provide its employees annual increases.

Institutions of higher education have shifted their faculty complement away from majority tenured and tenure track and have increased their dependency upon adjunct (part-time) faculty to carry a growing portion of the undergraduate teaching load over the past several decades. Adjunct faculty are paid on a student credit hour (SCH) basis, with high variability in the rate paid, based on discipline taught and institutional capacity. In FY 2017, VCU employed approximately 650 teaching adjunct faculty, whose per SCH pay scale ranged widely across various academic disciplines. Academic leadership, represented by the Office of the Provost and Faculty Senate, identified adjunct salaries as a priority and committed to creating a minimum SCH rate of \$1,000 in FY 2019, with the goal of increasing this minimum amount to \$1,100 in FY 2020. [Note: funding for this priority appears on Line 65 of the Academic-Financial worksheet since there was no applicable reference to adjunct faculty salary increases elsewhere on the worksheet. The first year of this need will come from reallocation, to be followed by funding from tuition.]

4. Implement REAL activities and measure impact

In his State of the University address in January 2016, VCU President Michael Rao emphasized the essential role that VCU must play in the 21st century, outlining critical ways that VCU will assert its relevance in rapidly changing times. He announced the university's commitment to a new experiential learning curriculum that will ensure every student receives real world experience during his or her college education. Surveys of prospective and current VCU students revealed that 80 percent of respondents valued practical experience as a key element of their college education.

The Provost charged a small steering committee consisting of faculty, students and academic affairs administration to turn the president's commitment into action. The result of their work and the work of supporting task groups is a new university-wide initiative called REAL for Relevant Experiential and Applied Learning. Their charge encompassed the following goals:

- Create an inventory of current REAL practices and activities
- Provide criteria for defining REAL activities as part of the curricular experience of VCU undergraduates
- Recommend a process for defining REAL activities with necessary academic components



VCU

- Involve and engage the internal and external community in implementing recommendations for REAL activities to ensure buy-in, coordination and support for the effort
- Submit recommendations for consideration and adoption

VCU REAL will launch in fall 2017 with four themes:

- CAREER – designed to provide students with exposure to the work environment in a possible field of employment
- CREATE – students are provided the opportunity to innovatively implement and reflect on an application of their academic foundation to a real world setting or challenge
- DISCOVER – driven by the concepts of inquiry, exploration and investigation. Students who pursue this experience are compelled by a sense of inquiry to engage with new knowledge and to develop living/learning skills through an education abroad experience, undergraduate research activity, or both
- SERVE – a student’s knowledge and skills are applied, tested, developed, and even transformed during collaboration with community partners, while creating mutually beneficial and ethical relationships that address social issues and envision social justice

Over the course of the new biennium, VCU will continue to expand and enhance REAL opportunities, and will put the mechanisms in place to track student engagement and assess impact on both progression and real world skill development. (Note: pending this assessment, this initiative has been slotted for funding from reallocation.)

5. Strengthen timely degree completion

VCU has made significant gains in both its four and six-year graduation rates since the launch of its current strategic plan, Quest for Distinction. Between FY 2012 and FY 2017, our six-year graduation rate increased from 30% to 45% while our six-year graduation rate rose from 54% to over 62%. Given the high percentage of undergraduate students enrolled at VCU with significant financial aid needs, every small gain in improving our degree completion rate translates to lower cumulative education costs and, over time, a drop in student debt. While we are proud of the gains our students have made in this student success measure, we are committed to shortening average time to degree and strengthening our overall completion rates.

Key components of VCU’s success in strengthening timely degree completion have been through a combination of intensive advising and an expanded focus on student engagement

strengthened by targeted investments in new technologies. During the new biennium, VCU will continue to emphasize these two areas as important strategies to drive completion gains.

Enhance student advising

VCU's Office of Academic Advising launched a 3-year plan in FY 2016 to not only create centralized advising leadership in each college, but to also add a significant number of professional advisors across all colleges/schools to improve advisor : student ratios and to empower faculty to focus on enhanced mentoring. Funding shortfalls caused by unanticipated State reductions in early FY 2017 led to the cancellation of new hires originally planned for fall 2017. The university has shifted the timing of the plan forward by one year, including support for 12 new advisors in fall 2017 for the College of Humanities and Sciences. Academic Advising plans for an additional 13 positions in fall 2018.

Expand student support technology

VCU is heading into the second year of a 3-year contract with the Education Advisory Board (EAB) for its student success management system, SSC Campus, a comprehensive software platform that creates a care network around the student. Academic advisors can create individualized student success campaigns based on these analytics, as well as current performance indicators (repeated courses, high DFW rates, etc.). The platform also incorporates student services like tutoring, career services, study abroad, military student services, TRIO, and other units across campus – to interact and refer students through the platform. The platform will also be used in the 2017-2018 to serve as VCU's early alert system, where faculty can push alerts to advisors of students in their courses who are struggling in their performance (attendance, test scores, study skills, etc.). With discussions underway concerning contract renewal and extension, Academic Advising is planning to add expand the SSC portfolio of applications by adding their Guide platform in FY 2019. Guide is a student-facing mobile application that provides students with alerts and strategic planning from various units across campus that impact student retention (financial aid, registrar, student life, etc.) when and where they are most accessible – on their phones.

The Office of the Provost and Vice President for Academic Affairs is leading a new initiative focused on improving undergraduate course scheduling. The first phase of this initiative, beginning fall 2017, will be an assessment of current scheduling platforms, processes and gaps, and will engage the services of an external consultant. The university's goal is have each academic unit develop projected course schedules that allow students to map out

their degree progression free from barriers that commonly affect degree progression (seat availability, cancellations, and course conflicts with other mandated courses in the major). A campus-wide clock schedule will also be developed to further improve classroom utilization rates – thereby allowing the units to offer more classes at ideal times of the day. These systematic changes will allow students to use on-line mapping tools that merge degree requirements with semester planning guides – to ensure all courses can be completed in the 4-year timeframe. (Note: as reflected on Part 1, this need will be funded from tuition given its high priority nature.)

6. Increase maintenance reserve

At the May 2017 meeting of VCU’s Finance, Budget and Investment committee of its Board of Visitors, Vice President for Administration Meredith Weiss presented an update of the six-year capital plan and the accompanying ten-year capital needs. VCU has identified \$85 million in immediate capital investment needs (maintenance reserve to meet backlogs), \$330 million in total 10-year renewal needs (those coming due between 2016 and 2025) and remaining backlog of lower priority needs and modernization. VCU’s Board of Visitors began a multi-year strategy of investments into maintenance reserve with \$1 million down payments in both FY 2014 and FY 2015 and planned increases of \$1 million annually. Budget reductions in E&G funds in FY 2016 prevented continued incremental investment in the reserve account in that year, but the university renewed its investment in the maintenance reserve in FY 2017 with an additional \$1 million. We will continue to fund this incremental investment each year as we move forward with the next six-year plan.

7. Strengthen support for Massey Cancer Center

One of VCU’s most promising sponsored research areas is cancer research across many different disciplines. The cornerstone of these efforts is the Massey Cancer Center (Massey), one of only sixty-nine National Cancer Institute-designated cancer centers (NCI) in the United States. Massey is a vital resource for cancer research, prevention, treatment, education, and clinical trials. It has successfully maintained its NCI designation for forty years, despite an increasingly competitive grant renewal process. In January 2017, Massey received notice of its core grant renewal, maintaining its NCI designation for another six years.

Massey’s particular focus is on translating promising research from the laboratory directly to the patient’s bedside. These new discoveries are necessary for better treatments, and prevention and control of cancer that will be available first to Virginians. A lack of funding would restrict the ability of researchers to move the concepts from the laboratory to the clinic. Massey must continue to demonstrate its ability to continue to expand and enhance

its basic, clinical and prevention and control research, and show trans-disciplinary collaboration. It will only be successful in reaching the goals set by NCI through funding that allows for growth of the center's research base through recruitments, expanding infrastructure and acquiring the latest technology to advance work in the laboratory, as well as providing state-of-the art clinical and research facilities.

Funding is included for both faculty lines and essential research infrastructure positions and for extending clinical trials.

8. Expand Online@VCU

VCU remains committed to adding new programs and course offerings for online education and increasing online enrollment. This expansion has a range of goals, including:

- Provide additional access to bottleneck, high DFW and general education courses to students as a means of improving timely degree completion
- Enhance the academic year and student experience with new summer and winter intersession online offerings
- Design new online undergraduate and graduate degree and certificate programs to meet local, regional and national demand for specific skills and education, such as cybersecurity, the health sciences, or the biosciences
- Work on developing Z-degree online courses (which do not require students to pay for college textbooks) and eventually a Z-degree program that articulates with a local community college
- Increase and strengthen the involvement of VCU faculty in online course development and online / distance instruction
- Target key market segments, such as military, teacher educators and other working adults with program offerings that encourage them to return to higher education or explore new learning opportunities
- Generate revenue sufficient to support and sustain online program and course offerings

A new executive director of online programs will begin July 1, 2017. Under her direction, the division will expand infrastructure, building off the foundation established by VCU's academic learning transformation lab (ALT Lab), conduct analyses to identify and prioritize programs and courses for the Online@VCU portfolio, and work with faculty to design and deliver the courses and programs. (Note: pending development of additional revenue sources associated with the initiative, funding is to come from one-time reallocated funds.)

9. Implement Health Equity Plan



Social determinants of health have a greater influence on the health of populations than health behaviors, genetics, or clinical care. Health inequities, high healthcare costs and poor quality of life for vulnerable populations are challenging issues encountered by various populations who reside in the Richmond region. VCU and VCU Health System are collaborating to address social determinants of health in a systematic way through their education, research and clinical care programs. This intentional collaboration, launched in FY 2017, embraces the philosophy that students, faculty and staff should have an increased understanding of the social challenges that many vulnerable populations face and be provided tools to address drivers of social determinants of health. Work conducted by the Health Equity Task Force and various work groups led to recommendations under a joint Health Equity Strategic Plan. Goals are as follows:

- Intentionally introduce health equity issues to the current and future health workforce through training and educational activities in VCU schools and in VCU Health System clinical programs
- Expand high quality, high impact research and scholarly activities that address health inequities such as the Center for Society and Health
- Integrate health equity strategies into the VCU Health System's patient care programs, such as the Youth Injury Violence Prevention Program
- Expand community engagement opportunities for faculty, students and staff through initiatives that directly address health inequities

Funding needs to support this initiative address infrastructure and communications requirements.

10. Increase the number of tenured and tenure track faculty

A key priority for the institution remains strategic additions to the number of tenured and tenure track faculty. The university has made significant strides toward its goal of becoming a leader among national research universities in providing all students with high quality educational experiences focused on inquiry, discovery, and innovation in a global environment. Sufficient numbers of tenured and tenure track (T/TT) faculty are necessary to realize that goal and to advance research, scholarship and creative expression commensurate with a public, very high research university. In an analysis prepared as part of its 2013 *Report on Academic Spending*, JLARC reported VCU with just 36% of its instructional faculty (inclusive of adjuncts and teaching assistants) as tenured or tenure track for the FY 2012 period versus 60% for UVA and 66% for Virginia Tech. While the number of T/TT faculty at VCU has grown slightly since the JLARC report, from 951 in 2012



to 959 in 2016, VCU has had far more success at growing its ranks of full-time term (non-tenure track) faculty.

Strategic faculty growth, with particular emphasis on strengthening our numbers of tenured and tenure track faculty, is important for improving retention and graduation, building translational research in targeted areas and enhancing instruction in STEM-H disciplines and other high need areas. This commitment to selective faculty growth enhances VCU's goal to graduate more students who are ready to contribute to the workforce of tomorrow. We plan to recruit 15 new (over and above replacement positions) T/TT faculty each year for the next two years, increasing this number to 25 new T/TT hires for FY 2020. Hires already made for FY 2018 and planned for FY 2019 as part of iCubed are included in the T/TT goal. As such, our plan for the biennium calls for 7 new T/TT faculty in FY 2019 and 25 in FY 2020.

11. Advance strategic research opportunities (VRIF)

The Virginia General Assembly created the Virginia Research Investment Fund (VRIF or Fund) in 2016 to foster economic development and job creation through innovative and collaborative research, development, and commercialization efforts and the recruitment and retention of eminent researchers. The Fund encourages cooperation and collaboration among public institutions of higher education and with the private sector. Its grants are intended to position the Commonwealth as a national leader in science-based and technology-based research, development, and commercialization.

The call for proposals for the initial round of grant funding went out to institutions in late May 2017. Each institution could submit up to two binding Letters of Intent (LOI) by June 23, with full proposals due on August 11.

VCU has a formal procedure and automated system in place for the announcement, submission and review of internal applications for limited submission opportunities such as this. A university-wide listserv and communications by the Associate Deans for Research in each college or school announce each opportunity. Interested applicants then submit their applications for review to the Office of Research and Innovation via VCU's secure internal proposal submission system.

A four-member committee comprised of two Deans, the Associate VP for Research Development and the VP for Research and Innovation reviewed the VRIF internal applications. The committee ranked each application on the merits of the project, its fit with the call for proposals and the experience of the faculty principal investigator and collaborators. It then met, discussed the rankings and chose two faculty to submit on behalf of VCU. The university submitted the two selected LOIs to the Fund for consideration on



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June 22. If the Fund awards VCU one or more grants, the university will, as stated under the terms of the award requirements, be prepared to provide 1:1 match for dollars awarded.

12. O&M for new facilities

O&M for new facilities includes, particularly, the anticipated opening in fall 2017 of the Institute for Contemporary Art and openings in 2019 and 2020 of the new School of Allied Health Professions and the expansion to the School of Engineering. (Note: as per SCHEV instructions, we have included only the tuition-supported share of O&M costs (50%) in the Part I workbook. The balance, while not appearing on this spreadsheet, is included on the SCHEV Survey of Operation and Maintenance Costs for New E&G and Research Facilities (FY2018-20) to be submitted in July.)

13. Expand, enhance and coordinate opioid abuse education, training and interventional programs

The U.S. Department of Health and Human Services reports that the nation is in the midst of an unprecedented opioid epidemic, with drug overdose deaths now the leading cause of injury death in the nation. In 2015 alone, more than 33,000 people died from opioid overdoses and nearly half of those deaths were attributed to overdosing on commonly prescribed opioids. The New York Times reported drug overdose deaths most likely exceeded 59,000 in 2016, as the rate of addiction usage and deaths from overdoses continues to surge. Closer to home, data from the Virginia Department of Health for 2013 identified more than 40,000 adults in the state's Medicaid program have a substance abuse disorder and more than half of Medicaid enrollees with a serious mental illness also have a substance abuse disorder. In 2016, Governor Terry McAuliffe and Virginia Health Commissioner Marissa Levine declared the opioid addiction crisis a public health emergency in Virginia.

VCU and VCU Health have established a solid foundation of research, education and educational training, and interventional programs that have made advances in addressing the rising opioid abuse challenge. Examples include:

- Research – NIH funding for a 5-year \$1.9 million grant to develop new chemical entities to treat substance abuse disorders; independent analyses conducted by researchers within the Department of Health Behavior and Policy within the School of Medicine around opioid addiction as a national policy issue
- Public education – seminar on evidence-based addiction prevention strategies (winter 2016); town halls (spring 2017) with researchers, practitioners and members

- of the public discussing the latest research on substance abuse, treatment and mental health among young people
- Training – VCU offers an MS in Addiction Studies through the International Program in Addiction Studies it developed and leads in partnership with the University of Adelaide and King’s College London. In addition, specialized courses are offered by Rehabilitation Counseling (School of Allied Health Professions), Pharmacology and Toxicology (School of Medicine) and the School of Social Work. Third-year students in the School of Dentistry receive education on forms of addiction and treating patients who have addictions. The professor providing these lessons also teaches an oral surgery course on post-operative pain management to second-year dental students and oral surgery residents. He lectures to psychiatric and mental health nurse practitioner students in the School of Nursing on the opioid epidemic and addiction
 - Interventional programs – VCU and VCU Health launched a multidisciplinary pilot project in 2016 aimed at helping pregnant women with substance abuse disorders overcome their addictions and prepare for motherhood

For the next biennium, VCU will focus on closer integration of opioid abuse-related activities that span the education, research, service, and clinical missions of the university and its affiliated health system, and on expanding the range of offerings and reach of these services.

C. Plans for Providing Financial Aid to Help Mitigate the Impact of Tuition and Fee Increases (on low-income and middle-income students and their families as described in § 23-38.87:15, including the projected mix of grants and loans)

VCU’s Financial Aid packaging philosophy is to award institutional aid and state aid prior to awarding federal loans to undergraduate students. Each of the need-based grants described below are in addition to any federal and state aid a student is qualified to receive, unless otherwise indicated.

The VCU Poverty Access Grant is an award designed for students who meet the Federal Poverty Level guidelines established by the U.S. Department of Health and Human Services (as shown in the table below). VCU budgeted \$1,125,000 for FY 2017 and \$2,000,000 for FY 2018 for this grant and plans to continue that level of support in the next six-year period.

The VCU Academic Achievement Grant targets first-year students who demonstrate financial need but also had a high level of academic success during high school. This award would be in addition to other institutional, federal and state aid they would qualify to receive. VCU allocated \$750,000 for FY 2017 and \$1,000,000 for FY 2018 for this grant.



The VCU Achievement Grant is an award designed for continuing students who demonstrate financial need but also had a high level of academic success at VCU. This award would be in addition to other institutional and state aid they would qualify to receive. VCU allocated \$2,500,000 for FY 2017 and \$3,000,000 for FY 2018 for this grant.

The VCU Transfer Student Grant is available to students who demonstrate financial need and who transferred from one of the twenty-three Virginia Community Colleges (VCCS). VCU allocated \$750,000 for FY 2017 and \$1,000,000 for FY 2018 for this grant.

The VCU Tuition Assistance Grant provides an award to students who demonstrate Pell Grant eligibility but also have remaining unmet financial need. VCU allocated \$2,250,000 for FY 2017 and \$3,000,000 for FY 2018 for this grant.

The VCU Residence Hall Grant is an award designed for students who demonstrate financial need but also have incurred campus-housing charges. This award would be in addition to other institutional, federal and state aid they would qualify to receive. VCU allocated \$750,000 for FY 2017 and \$1,000,000 for FY 2018 for this grant.

The VCU Junior/Senior Grant is awarded to students who demonstrate financial need but also are in their last two years of completing a bachelor degree with VCU. This award would be in addition to other institutional, federal and state aid they would qualify to receive. VCU allocated \$750,000 for FY 2017 and \$1,000,000 for FY 2018 for this grant.

The VCU Gateway Grant assists continuing middle-income students who fall into the income range of \$44,701 to \$119,960 for FY 2017 and FY 2018 who are in good academic standing. This award would be in addition to other institutional, federal and state aid they would qualify to receive. VCU allocated \$1,250,000 for FY 2017 and \$1,500,000 for FY 2018 for this grant.

To maintain these grants and continue to make progress on increasing the amount of institutional aid available to VCU students, the proposed six-year plan would provide for additional funding allocations each year for financial aid from tuition revenue. VCU lags behind other research institutions in terms of total institutional aid available for students, yet has greater unmet financial need.

2017 POVERTY GUIDELINES FOR THE 48 CONTIGUOUS STATES AND THE DISTRICT OF COLUMBIA	
Persons in family/household	Poverty guideline
For families/households with more than 8 persons, add \$4,180 for each additional person.	
1	\$12,060
2	\$16,240
3	\$20,420
4	\$24,600
5	\$28,780
6	\$32,960
7	\$37,140
8	40,890

D. Evaluation of Previous Six-Year Plan

Summarize progress made in strategies identified in the 2015-16 Six Year Plan. Note how additional General Fund support, savings, and reallocations were used to further the strategies.

Virginia Commonwealth University has made steady progress on its 2015-16 Six Year Plan. Reflecting priorities described in VCU’s strategic plan, *Quest for Distinction*, adopted in FY 2012, VCU is steadfast in its pursuit of the plan’s primary strategies – which align well with the Statewide Strategic Plan.

VCU did not depend solely on new funding to source the 2015-2016 six-year plan. Reallocation of base resources is an on-going process for VCU’s University Budget Advisory Committee that has resulted in many efficiencies. VCU staff report quarterly to the Board of Visitors on our progress in terms of identifying and implementing new efficiencies and redirecting savings to strategic priorities. Reallocations are routinely included in the budget plan and were used to fund much of the progress we have made against our priorities over the past biennium, described in further detail below. The new six-year plan continues to use reallocations as a major source of funding strategic priorities.

The State provided additional funding in FY 2017 with a \$4.3 million appropriation to sustain and enhance VCU's ongoing investments in access, affordability, quality, and degree production. This increased to \$6.4 million for FY 2018. These additional appropriations supplement and align with the following strategies:

- #5 – Improve 4- and 6-year graduation rates through continuing intensive advising and student engagement
- #7 – Improve retention through living-learning environments
- #9 – Reduce time to degree through online and summer programs
- #12 – Strengthen career counseling

1.A. Increase financial aid

VCU launched a 4-year cohort-based financial aid plan in FY 2014, embedding longer-range financial aid planning in our annual budgeting process. Over and above this planned growth in aid, VCU assessed an internal 1% reallocation as part of the FY 2017 and FY 2018 budget processes to provide an additional \$3.0 million each year in financial aid funding.

As part of state-authorized appropriations for FY 2017, VCU received an additional \$4.4 million to provide need-based aid to in-state undergraduate students. The combination of an increase in General Fund appropriations dedicated to financial aid and VCU's success at reallocating internal funds to target steady growth in financial aid resources has significantly enhanced the university's ongoing efforts to improve financial accessibility.

1.B. Provide faculty salary increases

The State approved a 2% merit-based salary increase for T&R faculty in FY 2016 and authorized institutions to allow for an additional 2.5% increase for this employee category. VCU's Board of Visitors approved this incremental merit award in May 2015. In its initial FY 2017 budget, the State had called for a 3% merit-based salary increase for T&R faculty, yet had to retract this when revenue shortfalls had a significant impact on State budget. Given the priority of this initiative, VCU felt it was critical to reallocate one-time funds to provide T&R faculty with a merit-based bonus in April 2017, with awards ranging from \$1,000 to \$4,000 based on the employee's most recent performance rating and base salary.

2. Add full-time T&R faculty lines

Between FY 2015 and FY 2017, VCU has added 46 full-time lines to its T&R faculty complement through the reallocation of resources and tuition revenue. All of these hires were for term (full-time, non-tenure-eligible) positions, with our complement of tenured

and tenure track faculty falling by a count of 10. Budget constraints have limited the university's ability to make material gains over the past biennium, yet the success of our newest faculty initiative, the Institute for Inclusion, Inquiry and Innovation (iCubed) in recruiting diverse and inclusive faculty will begin to have an impact on both term and tenured/tenure track faculty complement beginning with the fall 2017 term. [See #13 below for a more detailed description and progress around this initiative.]

3. Administrative/professional faculty and classified staff salaries

The State approved a 3% salary increase for classified staff and a 2% merit-based increase for administrative and professional (A&P) faculty in FY 2016 and had included a similar increase in its initial FY 2017 budget, but had to retract this when revenue shortfalls affected the State's budget. Anticipating it would be funding the institutional portion of this mandatory increase, VCU had included salary increases in its FY 2017 budget and subsequently shifted these funds to support the State's newly approved salary increase effective July 2018. Given the importance of this institutional initiative, VCU identified one-time reallocations to fund a merit-based bonus in April 2017 to A&P faculty and classified staff who held employee positions as of June 30, 2016. For those in faculty positions, these were fixed bonus awards, ranging from \$1,000 to \$4,000, based on the employee's most recent performance rating and base salary. Classified staff bonuses (for those with a satisfactory rating or better) were limited by state regulations around compensation and salary changes for this employee category.

4. Massey Cancer Center and research

Massey underwent a competitive process with the National Cancer Institute (NCI) in FY 2017 to seek renewal of its core grant. It received notice of a successful renewal for this critical infrastructure grant in January 2017, making it one of just 69 cancer centers among more than 1,500 nationwide designated by the National Cancer Institute to help lead and shape our nation's fight against cancer. The renewal was dependent upon Massey demonstrating the following:

- Depth and breadth of science in three major areas of basic laboratory, clinical, and prevention, control and population sciences
- Evidence for strong trans-disciplinary research bridging these areas of research
- That the center has defined the cancer problems relevant to its catchment area and serves its catchment area, as well as the broader population of its region; and
- That the cancer center promotes and leverages the training and education of biomedical scientists and health care professionals in support of its research mission

The State appropriated \$3 million in both FY 2016 and 2017 to provide additional support to Massey and its ongoing mission.

5. Improve 4 and 6-year graduation rates through continuing intensive advising and student engagement

Since launching its current strategic plan, Quest for Distinction, which places student success at the heart of our mission, VCU has continuously improved its 4- and 6-year graduation rates. From FY 2012 through FY 2016, the six-year graduation rate has increased from 53% to 62%, while four-year rates have grown from 30% to nearly 45%. These gains apply equally across different student populations, demonstrating VCU’s success at minimizing the gap between under-represented minorities and the overall graduation rate for white students and the entire undergraduate first-time, full-time population.

Population	Fall 2005 Cohort 6-year Graduation Rate	Fall 2010 Cohort 6-year Graduation Rate
All VCU	53%	62%
White	54%	62%
African-American	53%	60%
Hispanic	44%	59%

VCU launched a new Academic Advising initiative in fall 2017, which focused on centralizing advising functions within each college/school, and to increase the number of professional advisors available to meet 1:1 with students. The initiative will add over 37 new advisors over the course of three years to lower student advising ratios across campus. The first phase of this plan added 12 new advisors in FY 2017, using a combination of new and reallocated funds. Funding limitations reduced the number of new positions for FY 2018 to 12, all of which are dedicated to expanding advising services to students within the College of Humanities and Sciences – VCU’s largest academic unit. Plans now are to extend expansion of advising staff through FY 2020.

In addition to expanding the number and professional quality of student advising staff, VCU has implemented a number of initiatives and web-based tools over the past few years designed to enhance the student experience and help decrease time to degree. A new initiative that will get underway in FY 2018 is Major Maps. Each academic major at VCU will have a major map that becomes a strategic planning tool for each student. The maps will guide students on how to explore, gain experience and become marketable in their chosen career paths. The maps outline annual guideposts for degree planning, community involvement, building cultural competence, gaining relevant experience, and preparing for life after college.

A description of other initiatives and impact experienced to date appears below.

Tool	Description and Impact
Beyond Orientation	Online live and archived course for parents of new students, providing access to resources and explaining student life cycle
Course Scheduler	Identifies every combination of schedule, aligned with student degree map; students who utilized the tool increased credit load, decreasing time to degree
DegreeWorks	Degree mapping, graduation certification and NCAA compliance features have provided increased integrity to previously manual processes, and have helped decrease student's time-to-degree by providing clear view regarding their progress and outstanding degree requirements
"Do the Math" 15 and 4 Initiative	This initiative focuses on increasing graduation rates and decreasing student debt. This is the university's umbrella initiative for developing awareness among students about the benefits of enrolling in 15 credits per semester
First-Year Student Success Modules	One credit first-semester courses which focus on barriers and motivators encountered by first year students (how to pay for college, career planning and management, professional development for men of color, how to get involved on campus, LGBTQ pride, study skills and procrastination, study abroad, etc.). First year advisors and student service professionals teach these modules across campus. The philosophy is – if a student can tackle barriers with support or find motivation in their aspirations/dreams, they can overcome hurdles and persist
One Call	Call blast product provided for mass communication to address high priority issues
SALT	Web-based financial literacy and budgeting product for students and staff
Student Success Campus	Predictive modeling platform assisting advisors to best provide direction on majors in which students have demonstrated aptitude to succeed, identified gateway courses and necessary grades predicting success in majors, all allowing for more personalized advisement
Summer Scholars	Five-week program hosted in the summer that provides approximately 75 new, incoming students a head start on their path to graduation. Students earn six college credits, receive individualized learning support, experience life in the residence halls and become familiar with VCU's campus.
TRIO Student Support Services (SSS)	This federally funded program supports undergraduate students by providing them with resources and tools for academic success. First generation, low income and students with disabilities are qualified to



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	apply to participate in TRIO SSS. This grant funded initiative began in 2015 and currently enrolls 200 students
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During FY 2017, VCU renovated approximately 7,500 GSF of space formerly occupied by VCU Police for use by the Department of Mathematics and Applied Mathematics in the College of Humanities and Sciences to develop programmatic space needed to improve student performance and reduce the frequency with which students drop, withdraw from, or fail math classes. The resulting program, Math Exchange, opened in spring 2017. It involves an innovative teaching pedagogy, with a focus on self-paced and digitally based learning, supported by tutoring staff. Hours for Math Exchange will continue to expand over coming terms, with a goal of 24x7 access.

6. Add full-time staff lines to support safety and compliance

The previous 6-year plan identified new staff to meet increased mandatory compliance requirements associated with Title IX, employment equity, and discrimination regulations, and to enhance student and campus safety. Over this biennium, VCU expanded its office of Equity and Access Services from four to 11 positions, including the addition of four civil rights investigators. Headcount of sworn personnel within VCU Police increased from 92 to 99 during this same period. Within Technology Services, the division was able to forego adding staff, shifting resources to add new security software tools.

7. Improve retention through living-learning environments

Since the opening of its first living-learning program (ASPiRE) in fall 2012, VCU has expanded its offering to include four living-learning communities located on its Monroe Park campus. Two of these programs opened over the past biennium:

- ASPiRE – focusing on community engagement and service (171 enrolled)
- GLOBE – emphasizing international engagement (opened May 2013; 235 enrolled students)
- LEAD – providing opportunities to learn about and apply leadership skills (opened fall 2015; 6 enrolled students)
- INNOVATE – pairing innovation and entrepreneurship with instruction from the daVinci Center (opened fall 2015; 85 enrolled students)

VCU has conducted retention analyses comparing ASPiRE students from the 2012, 2013 and 2014 cohorts to a comparison group for each cohort. Retention rates for these three cohort comparisons show equivalent or higher retention for ASPiRE students. This analysis will be expanded in fall 2017 to add GLOBE students.

8. Increase maintenance reserve

The needed on-going annual increase in maintenance reserves could not be realized in FY 2017 due to budget constraints, with needed funding for initiatives such as increased financial aid to need-based undergraduate students given priority for limited financial resources. VCU did identify approximately \$400,000 through internal savings to address critical maintenance needs. The annual \$1,000,000 increase to this reserve fund was included as part of the FY 2018 budget.

9. Reduce time to degree through online and summer programs

The division of Online Academic Programs (Online@VCU) represents our institutional commitment to hybrid and fully online learning, guided by three principles: distinctiveness, deeper learning and high student engagement.

Undergraduate and graduate online courses and enrollments have continued to grow during this past biennium. Our complement of unique online courses has grown from 241 in FY 2015 to 299 in FY 2017, while total enrollment has increased from about 21,500 to 24,700 over this same period, a 15% growth. Online@VCU has also continued to design and implement highly innovative hybrid and online learning opportunities, including a new online certificate program in cybersecurity for undergraduates seeking a B.S. in Computer Science or a post-baccalaureate certificate. The majority of new online course offerings were developed to expand availability for high-demand programs, particularly those courses that have proven to be “bottlenecks” for student progress in the past.

VCU continues to build a robust infrastructure of enrollment data, learner support, faculty development, and innovative production capabilities to generate distinctive, high engagement opportunities for both undergraduate and graduate students. Some measure of our success in continuing to pursue this strategy may be seen in the steady improvement in both four- and six-year graduation rates.

10. Increase graduate assistantships and stipend levels

VCU continues to lag behind its research-intensive peer institutions in both the number of graduate assistantships supported and the stipend level offered. This creates a significant disadvantage when competing for the most promising Ph.D. students. We have increased the stipend level by \$1,000 each year, reaching \$23,000 for FY 2017, yet had to fund this increase by decreasing the number of stipend-supported assistantships sponsored by the Graduate School. Since FY 2016, the number of supported assistantships has fallen from 238 to 214 (as budgeted for FY 2018).



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The State appropriated an additional \$300K in FY 2017 to support graduate student financial aid, which enabled VCU to increase its level of aid to this student population.

11. Reduce tuition for doctoral students at candidacy

VCU's Graduate School administers a tuition waiver to doctoral students at candidacy that reduces their annual tuition by one-third.

12. Strengthen career counseling

The University Career Center (UCC) continues to expand programs and services, working closely with Academic Advising to leverage and align efforts to enhance student success during and post-graduation. The office provides service to all students and post-doctoral fellows across both VCU campuses. Over the past 3 years, UCC has achieved significant progress, described by the following highlights:

- Employer engagement levels grew 134% between FY 2014 and FY 2017, with over 2,300 employers engaged at some level
- Student engagement with UCC has increased by 59% over the same period, reaching nearly 15,000 student contacts during FY 2017
- Launched new web site identifying key resources and content for on-demand career and professional development
- Launched and integrated web platform (HireVCURams) to track employer engagement through career services functions across the university; internship postings alone have increased >107% since the launch
- Expanded HireVCURams (HVR) to reflect "experienced hire postings" and extend database to include VCU alumni users at no cost for life
- Developed an industry-specific career fair model, including part-time job fairs, which brought 27 fairs with 1,086 employers and 8,946 student participants from Fall 2013 through Spring 2017
- In 2017, UCC hosted its inaugural Bench & Beyond career symposium for graduate and post-doctoral scientists and researchers to explore career paths in industry, government, nonprofit, and education. Attendance included 63 students and 28 industry representatives

13. Institute for Inclusion, Inquiry and Innovation (iCubed or Institute)

VCU launched iCubed in summer 2015 as part of our commitment to serving as a national model for diversity and inclusive excellence among urban public research universities in the U.S. We determined that we could leverage our position at the nexus of access and



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opportunity and culture and race in Richmond to create pathways to include underrepresented minority faculty and students in the development of innovative approaches, practices and programs that enhance the vitality of urban communities. The Institute was formed to lead this effort and to serve as an organizing principle that bridges diversity, inclusion and excellence across the university community. It is responsible for the administration of five programs to promote diversity and inclusion:

- Cluster Hiring Initiative and Program (CHIP): to support transdisciplinary core development [note: 5 cores underway to date – Culture, Race and Health; Oral Health Research; Health and Wellness; Social Justice; and Racial Equity in Arts and Culture];
- Pathways to the Professoriate (PATH): to support graduate student and postdoctoral Fellowship pipeline programs with HBCUs and MSIs;
- Commonwealth Scholars Program (CSP): to support the education and training of diverse undergraduate and graduate students affiliated with the transdisciplinary cores;
- Visiting Scholars Program: to support prominent faculty who contribute to the aims of the transdisciplinary cores and expand the inclusive teaching and research contexts of colleges and schools; and
- Commonwealth Citizen Award Program (CCAP): to promote collaborative science and consensus-building among diverse populations of faculty, staff and students

Since July 2015, iCubed has grown from one faculty member, serving as Executive Director, to more than 50 affiliated faculty and partners expected in summer 2017. Emphasis during the first two years of this initiative has been 3-fold:

- iCubed faculty and postdoc recruitment – as of fall 2017, iCubed will have added 9 new T&R faculty, 5 visiting scholars and 3 postdocs to faculty roles. These recruitments represent diversity in discipline, ethnicity/race and gender. Ten of 13 schools and the College of Humanities & Sciences hired at least one iCubed faculty or postdoc; 94% are from a racial/ethnic minority background; 76% are female. Five searches that were closed as a result of budget cuts or failed will recommence this fall. In addition, iCubed will begin recruiting for T&R faculty positions in two cores that are currently staffed by visiting scholars
- iCubed faculty support – the Institute begins enrolling faculty for the NCFDD Faculty Success Program in summer 2018, with a goal of supporting 10 iCubed faculty, scholars and postdocs during this initial effort. Professional coaching and mentoring will be offered to all incoming iCubed faculty, scholars and postdocs, and monthly seminars will begin in September 2017 as part of a year-long series promoting

- collaboration, cultures of inclusion, engagement, and social innovation among core faculty and community partners
- iCubed student support – the Institute has established a working agreement with Strategic Enrollment Management to provide supplemental funding for 15 work-study students to provide research support to all iCubed affiliated faculty and partners, beginning January 2018. In addition, an agreement is in place with the Graduate School to support two graduate students with in-state tuition and stipend

14. Library enhancement

This initiative addressed contractual cost increases for access to scholarly journals. Access to this content is imperative to maintaining the university's Carnegie classification as a very high research institution. Annual budgets provided funding for the priority during this biennium.

15. Enhance technology

Unfortunately, higher priority needs in FY 2017 and 2018 have prevented funding of this initiative. Current budget conditions have not allowed VCU to invest in infrastructure upgrades that maximize leverage of the Mid-Atlantic Research Infrastructure Alliance Network (MariaNet) as an economical way to provide high-speed connectivity paths to support research and instruction. We continue to make reasonable enhancements at lower cost that have partially advanced our connectivity speed and range, but we cannot achieve the full network functionality facilitated by MariaNet without further investment.

16. O&M for new facilities

VCU opened two new living-learning communities (LEAD and INNOVATE) and a six-story office building, all located on W. Grace St.), in summer/fall 2016. Cabell Library, having undergone a major expansion and considerable renovations, welcomed students, faculty and staff in fall 2016. These four new or expanded facilities added nearly 455,000 square feet of E&G space. O&M expenses to support this new instructional facility have been part of our annual budget plan.

17. Utility cost increases

VCU included funding to meet contractual increases in utility costs as an unavoidable expense reflected in each of its approved annual budgets from FY 2016 through FY 2018. The university continues to implement energy saving initiatives to lower costs within its own control. These efforts, in combination with lower fuel costs, were able to realize savings as a funding source for FY 2018 academic needs. Going forward, the university is



pursuing significant energy cost control measures and therefore, has not included this expense in the plan for the upcoming biennium.

18. Fringe/health benefits cost increase

VCU implemented fringe/health insurance increases in line with State requirements for each of the previous two fiscal years.

19. Attorneys in General Counsel's office

The workload in VCU's Office of University Counsel warranted additional staffing and the Office of the Attorney General approved a new staff line. FY 2017 funding enabled the conversion of an existing Law Fellow faculty position to Associate General Counsel.

20. Contract escalation and lease costs

Contract cost increases are related to VCU's central rent, contract with Groome Transportation for the shuttle service between the Monroe Park and Health Sciences campuses and mail services. Funding to support these increases has been part of our annual budget plan.

E. Tuition Rate Increases

The Governor and General Assembly addressed on-going state revenue shortfalls by implementing across-the-board reductions for all agencies including public colleges and universities; reductions for VCU in FY 2018 totaled \$8.0 million. In recognition of VCU's emphasis on access and service to Virginia students, this reduction, while significant, was slightly lower than that experienced by our higher education peers. This funding cut, along with unavoidable increases in VCU's operating budget and costs associated with critical academic needs resulted in VCU's Board of Visitors approving a limited tuition and fee increase for in-state resident undergraduate students of 3.8% (inclusive of mandated fees). The budget, as adopted, also requires internal budget reductions of \$3.8 million.

A review of 2015 IPEDS Institutional Profiles highlights VCU's efficiency in comparison to our Tier III peers. This level of efficiency, in combination with expectations of limited State support moving forward, increases VCU's dependency upon tuition revenue to fund the academic mission, particularly when it comes to strategic priorities targeting student success. These include:

1. Expanding need-based financial aid to the large number of resident undergraduates who enroll at VCU – a larger combined number than our Tier III peers



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2. Continuing to improve timely degree progression and completion by expanding professional advisors and providing new and enhanced technology support that advances support and engagement to our students
3. Increasing our complement of tenured and tenure track (T/TT) faculty, critical to our ongoing success as a very high research institution, to begin to narrow the wide disparity of T/TT faculty as a percent of total teaching and research faculty against our Tier III peers

As such, we have reflected a 4% increase in our tuition rate for both FY 2019 and FY 2020.

F. Contributions to Economic Development

Enacted by the State General Assembly during its 2017 session, House Bill 515 called for each institution of higher education to describe its contributions to stimulate the economic development of the Commonwealth and the region where it is located as a component of its institutional six-year plan.

In January 2017, President Michael Rao announced the results of the university's most recent economic impact study, conducted by VCU's Center for Urban and Regional Analysis (CURA). The final report, *VCU's Impact on the Region: Talent, Innovation and Collaboration*, highlighted the following:

- Total economic impact of \$4 billion within the metropolitan statistical area (Richmond MSA) and \$5.9 billion within the Commonwealth
- 47,000 jobs within the MSA and 63,000 across the Commonwealth
- A total Richmond regional multiplier of 3.7 – for every dollar that VCU spends in the metropolitan area, the region experiences a total economic impact of \$3.70, while the Commonwealth at large experiences a 3.2 multiplier effect

The report further identified VCU's contributions in a number of key areas that shape economic impact and the overall quality of life.

- Talent: VCU produces graduates whose skills meet the needs of area businesses and other organizations. 67,000 VCU alumni live and work within the MSA, while regional businesses, nonprofits and government agencies alike seek the cutting-edge solutions that VCU faculty research creates
- Innovation and the entrepreneurial ecosystem: VCU is a leader in innovation and creativity, with a profound impact on the economy that reverberates across the region, the state, the nation, and the globe. Examples of this impact include:



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- Venture Creation University – a university-wide initiative focused on nurturing and guiding the entrepreneurial and innovative mindset of students. The result of its various programs is that 51 percent of VCU students are interested in entrepreneurship and 30 percent of our students want to start a company
- VCU Innovation Gateway facilitates the commercialization of both faculty and student research, supports university research through collaborative agreements and supports the creation of new business ventures
- VCU engages in numerous partnerships that increase the impact of its entrepreneurship work and strengthen the regional entrepreneurial ecosystem in general through relationships such as those with the Virginia Biotechnology Park, Dominion Resources innovation Center and Lighthouse Labs
- Regional stewardship: VCU shows that it cares about the Richmond region by exercising leadership to address challenges and move forward. Its stewardship takes many forms, including that of:
 - Community developer: as a major property developer, VCU has helped to revitalize the neighborhoods surrounding its Monroe Park campus in addition to downtown Richmond, in general
 - Convener: VCU uses its regional footprint to help break down boundaries between local governments and other organizations to advance important regional goals
 - Thought leader: VCU attracts more than \$200 million each year in sponsored research that powers innovative thinking on society’s toughest challenges
 - Moral leader: the university takes principled stands and follows up with actions. For example, the VCU Office of Multicultural Student Affairs plays an integral role in reducing cultural barriers through various events and projects. VCU also recently allocated \$28 million to help develop the Children’s Hospital Foundation Heart Center. In 2015, U.S. News & World Report named VCU’s children’s hospital one of the best in the nation for the third year in a row
 - Local culture: VCU influences the local culture, the milieu of Richmond, creating both businesses that supply products and services, and a market that purchases distinctive products and services

A full range of details are provided in VCU’s 2017 Part I submission (under the Economic Development tab) describing a broad array of initiatives and impact levels. Selected contributions to economic development stimulation appear below:

- a. University-led or public-private partnerships – examples include:



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VCU has been a major driver of real estate development and community transformation around both of its campuses – Monroe Park and Health Sciences – as well as along the downtown corridor. In the past biennium alone, VCU has built and opened two new living-learning programs/residence halls along with a new 6-story administration and academic program building along West Grace Street. Construction for VCU’s Institute for Contemporary Art, dedicated to contemporary visual art, design music, performance and film is underway at the intersection of Belvidere and Broad. In May 2017, VCU broke ground at 600 N. 10th St. on a new 154,000 GSF building for its renowned School of Allied Health Professions. The VCU Board of Visitors approved the institution’s first public-private partnership in spring 2016 for a \$96 million project to replace the Gladding Residence Center on its Monroe Park campus.

b. State industries to which VCU’s research efforts have direct relevance – some highlights include:

Research conducted by VCU faculty under State-funded grants from numerous agencies totaled \$25.6 million for FY 2016. The university’s greatest impact from its research efforts on state industries likely comes from health-related research. One of VCU’s crown jewels in this arena is the Massey Cancer Center, the only NCI-designated cancer center within Virginia. Massey’s top-caliber physician-scientists continue to discover many exciting cancer breakthroughs, and its innovative clinical trials are advancing promising discoveries found in its laboratories and bringing them bedside to patients.

One of VCU’s long-standing and collaborative efforts on the regional impact front comes from the Center on Society and Health (Center). Chartered by the VCU Board of Visitors in 2007, its mission is to raise awareness about the factors outside of health care that shape health outcomes and to explore ways to improve population health and wellbeing. The Center is a unique, talent-rich, and highly visible resource for the translation of science to inform policy and programs affecting health at the national, state, and local levels. It combines user-oriented research with policy outreach, stakeholder and community engagement, and strategic communication. It maintains vibrant relationships with partners throughout the state, from local residents to policymakers, government agencies, private organizations, service providers, the business community, and other researchers who share an interest in community health and wellbeing. Its products are geared to a wide, non-technical audience of decision-makers and practitioners in health, government, non-profits, and the sectors outside health that shape it. More about the Center is available at <http://societyhealth.vcu.edu/>.

The Center’s work aligns closely with the mission of SCHEV, to support institutions that “lead state-level strategic planning and policy development and implementation based



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on research and analysis” and that “facilitate collaboration among institutions of higher education.” Its partnerships with colleges and schools at VCU and with other academic institutions throughout the Commonwealth provide policy-relevant data and research findings to support decisions made on matters of health care, education, the economy, housing, transportation, and other health-related sectors. The Center also helps recruit expert faculty and researchers, facilitates collaborations across Virginia government institutions and institutions of higher education, mentors and supports future health equity leaders through internships and assistantships, disseminates community-engaged scholarship, and assesses community-identified assets and needs. It is uniquely positioned to expand the research enterprise of Virginia universities and to positively affect the health and wellbeing of the Commonwealth.

c. High-impact programs designed to meet the needs of local families, community partners and businesses – examples include:

VCU’s Division of Community Engagement (DCE) undertook a project to identify and categorize university-community partnerships. This effort identified over 1,000 such partnerships, 46% of which are focused on the Richmond MSA, 56% tied to education – predominantly K-12 - and 34% geared towards health access. Subsequently, DCE has launched The Community Network, VCU’s community-engaged partnership map. The map provides a visual database of activities that occur through university-community partnerships via research, teaching, service/outreach, and patient care.

Key areas of engagement include initiatives geared towards early childhood development, economic and workforce development, K-12 education, criminal justice and public safety, and health and wellness. Highlights of a few particularly innovative programs include the following:

- Under a Center for Translational Science Award from the National Institutes for Health, the Center on Society and Health convened Engaging Richmond, a community-academic partnership based in Richmond’s East End to assist with the Richmond community needs assessment. This partnership has continued, with Engaging Richmond members using mixed methods research to explore the social and environmental factors that influence health. Based on community-identified priorities, the team develops targeted dissemination strategies to bring evidence to policy makers and change agents
- Quick Start Construction Training program teaches the basics of construction work to Richmond residents who have struggled with homelessness and incarceration. Conceived by VCU’s AVP of Facilities, the program is a partnership among VCU, the VCU Health System, construction industry associations, the



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Richmond City Sheriff's Office, and the nonprofit organization CARITAS. The inaugural program launched spring 2017 had 14 participants

- VCU AmeriCorps is one of the largest and longest-running AmeriCorps programs in Virginia. Established in 1995, the program has an educational focus with the goal of helping improve the academic skills and engagement levels of grades K-8 children living in low-income Richmond city communities. In addition to providing quality academic intervention, VCU AmeriCorps members serve as role models and mentors to K-8 students. In FY 2017, VCU had 30 students serving in its AmeriCorps program

A full list of these and other programs is at <http://communitynetwork.vcu.edu/>

d. Business management / consulting assistance

Faculty and students throughout VCU provide a wide range of consulting and management to Richmond businesses. Examples of some of these services include:

- School of Business – faculty have participated in externship programs with placements at local corporations in the financial and energy sectors. Business students have learned to prepare income tax returns and subsequently volunteered to assist low-income families in the Richmond area
- daVinci Center – an average of five teams of 5-6 students, under the guidance of a faculty advisor and a project manager, design and conduct undergraduate product innovation projects each academic year as part of their curriculum. These projects engage with regional and national businesses and organizations to provide insights, identify needs and build solutions
- L. Douglas Wilder School of Government and Public Affairs – the school offers a range of consulting services under various institutes and laboratories. These include the Performance Management Group, the Center for Urban and Regional Analysis, the Commonwealth Educational Policy Institute, the Grace E. Harris Leadership Institute, the Office of Public Policy Outreach, and the Survey and Evaluation Research Laboratory
- Innovation Gateway (IG) began in 1994 to protect and commercialize valuable VCU inventions and creations. IG broadened its mission and activities in 2014 to add a commitment to enhancing the overall culture of entrepreneurship at VCU and contributing to the growth of the region's innovation ecosystem to its mission. In FY 2017 alone, IG helped launch three new start-ups

G. Capital Outlay

Note: pursuant to the instructions, VCU has NOT listed every project in its Six-Year Capital Plan. We have only listed the highest priorities that are on the most immediate horizon (that could have a significant impact on strategies, funding or student charges).

1. School of Allied Health Professions Building Equipment

Construction is underway for VCU's new School of Allied Health Professions Building, with completion expected in 2019. This new 154,000 GSF building, located on the Health Sciences Campus north of Leigh Street, will consolidate the 11 departments that comprise the School and are currently located in five buildings spread between two campuses.

The allied health professions comprise over 60% of the healthcare workforce and involves the delivery of health or related services pertaining to the identification, evaluation, prevention and treatment of diseases and disorders. Despite the inefficiencies associated with inadequate, outdated and dispersed space, the School includes four top rated programs in US News and World Report. The new facility will allow the increase in capacity (enrollment) in existing high demand programs.

Our request for the next biennium is for \$7.4 million from the State General Fund for furnishings and equipment.

2. School of Engineering Research Building Equipment

VCU's School of Engineering is a pioneer in innovation and early application of skills learned in its instructional methods. It attracts outstanding students, faculty and researchers and is poised for future growth. Construction of a new facility to accommodate expansion of research activities in the School represented the university's second priority for major capital in the 2016 Session. The General Fund is financing 50% of the cost for this \$86 million facility with the remaining \$43 million from University-backed debt (with debt serviced, primarily, with indirect cost recoveries). The project is adding 120,000 gross square feet of research space and will provide laboratories, laboratory support space, offices for researchers and graduate students and post-doctoral students arranged to encourage cross-disciplinary collaboration.

For the coming biennium, VCU is requesting \$3.9 million from the State General Fund for furnishings and equipment, with an additional \$3.9 million balance coming from university debt.

3. Humanities & Sciences Phase I: STEM Class Laboratories

VCU had 6,214 undergraduate students seeking STEM-related degrees during FY 2017, with more than 3,800 of them enrolled in STEM programs within the College of Humanities and Sciences. In fall 2016 alone, VCU had over 5,100 undergraduates enrolled in biology courses with required lab hours and nearly 3,900 enrolled in chemistry lab courses. Laboratory facilities within the College are not only outdated, but also at capacity. These capacity constraints have hindered current students from taking required courses in a timely manner and prevented course and program expansion despite growing demand.

VCU is requesting \$80.5 million from the State General Fund for new construction of class laboratories for the basic sciences to reduce overcrowding and provide high quality undergraduate teaching facilities.

4. Humanities & Sciences Phase II: Administration & Classroom Building

The College of Humanities & Sciences is VCU's largest school, with 14,300 students during FY 2017, nearly 94% of which were undergraduates. The College has more than 400 full-time Teaching and Research faculty, 92 full-time classified staff and nearly 40 Administrative and Professional faculty, along with student, hourly and part-time workers numbering in the high hundreds.

VCU is requesting \$35 million from the State General Fund for new construction to consolidate administrative office space and provide additional instructional space for the College.

5. Oliver Hall Physical Science Wing Renovation

The Physical Science wing of Oliver Hall houses classrooms and faculty offices for the Department of Chemistry as well as classrooms for the Department of Mathematics and Applied Mathematics. In fall 2016, these two departments had a combined total of 86 T&R faculty and 838 undergraduate students pursuing majors in one of these areas.

VCU is requesting \$41 million from the State General Fund for renovation of the physical sciences wing of Oliver Hall to reduce the university's deferred maintenance burden and to upgrade instructional and research space for the College of Humanities & Sciences.

6. Sanger Hall Renovations, Phase III

Sanger Hall (Sanger), located on VCU's Health Sciences campus, opened in 1963. It houses research facilities and administration offices for the School of Medicine, and has at least one classroom/auditorium on each of its ten floors. Flood damage in November 2013



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caused by a broken city water main caused significant damage, particularly to research laboratories. Sanger has been undergoing extensive renovations since that time. In 2015, the university completed Phase I renovations to the first and seventh floors. Phase II renovations are in progress.

VCU is requesting \$24 million from the State General Fund to support the third phase of Sanger Hall renovations to upgrade research and instructional space for the School of Medicine. University will use debt to fund the balance of the \$32 million project.

H. Restructuring

Provide a list of any items that you feel need clarification under your existing authority. Please list any additional concerns or issues.

Thank you for the opportunity to provide concerns/issues or to request clarification on items within our existing Tier III authorities. VCU would be very pleased to reopen a dialogue with state stakeholders from both the executive and legislative branches and our fellow Tier III institutions to discuss the following opportunities:

1. Stabilize State support for VCU to implement a multi-year planning and budgeting process;
2. Allow VCU the flexibility to pursue purchasing a robust procure-to-pay system to maximize Procurement's internal operational efficiencies and to leverage purchasing opportunities;
3. Allow VCU to implement a University-managed small purchase credit card program and retain rebates;
4. Provide VCU more flexibility in setting tuition rates and enrollment targets without adverse effects on State support; and
5. Allow VCU to preserve E&G operating and capital reserves to retain bond ratings and provide operating flexibility.

Under Tier III authority, VCU is currently redesigning its HR plan to better recruit and retain diverse and highly skilled employees in Richmond's competitive employment market.

**Board of Visitors Executive Summary
September 2017**

PRESENTATION TITLE: Audit and Compliance Services Charter – Annual Update	
Presenter Name and Title: Bill Cole, Executive Director	
Responsible University Division: Audit and Compliance Services BOV Committee: Audit, Integrity, and Compliance Committee	
Quest Theme(s) and Goal(s) to be Addressed:	
Key Presentation Messages	<ol style="list-style-type: none"> 1. Annual review and approval of our departmental charter. 2. The charter is the Board of Visitor’s authorization and charge document which empowers the university’s comprehensive and effective internal audit and compliance programs. 3. The charter is an industry best practice and a requirement for internal audit functions by The Institute of Internal Auditors. The charter also establishes the compliance program’s standards of practice in accordance with Chapter 8 of the Federal Sentencing Guidelines. 4. A revision to the scope of work by adding responsibility to ensure an effective program of information technology management and security is maintained.
Governance Implications	<ol style="list-style-type: none"> 1. The charter sets forth objectives for the department: <ul style="list-style-type: none"> o Scope of Work o Accountability o Independence and Objectivity o Responsibility o Authority o Standards of Practice o Quality Assurance and Improvement Program 2. Overall, the charter is a guiding document of expectations as to how the department conducts audits and implements an effective compliance program.
Governance Discussion Questions	Not Applicable
Next Steps for Management (Responsible Division Head; Timeframe for Action)	Not Applicable
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	Not Applicable

AUDIT AND COMPLIANCE SERVICES CHARTER

VIRGINIA COMMONWEALTH UNIVERSITY and VCU HEALTH SYSTEM

Virginia Commonwealth University (university) and VCU Health System Authority (health system) maintain comprehensive and effective internal audit and compliance programs. The objective of Audit and Compliance Services (“department”) is to assist members of the Board of Visitors, Board of Directors, and management in the effective performance of their responsibilities. The department fulfills this objective by providing independent and impartial examinations, investigations, evaluations, counsel, and recommendations for the areas and activities reviewed.

Scope of Work

The scope of the department’s work is to determine whether the university’s and health system’s risk management, internal control, governance, and compliance processes, as designed and represented by management, are adequate and functioning in a manner to provide reasonable assurance that:

- Risks are appropriately identified and managed
- Control processes are adequate and functioning as intended
- Significant, financial, managerial, and operating information is accurate, reliable, and timely
- An effective university compliance program is maintained to provide guidance and resources, in an oversight role, for all educational, research, and athletic compliance programs to optimize ethical and compliant behavior
- An effective health system compliance program is implemented to further the health system’s mission, vision, and values by promoting a culture of compliance, and preventing, correcting, and investigating issues through education, monitoring, and enforcement
- [An effective program of information technology \(IT\) management and security is maintained to ensure university IT and data assets are properly secured, integrity protected, available as needed and kept confidential as required by applicable policies laws and regulations](#)
- Employees’ actions are in compliance with the respective codes of conduct, policies, standards, procedures, and applicable laws and regulations
- Resources are used efficiently and are adequately protected
- Program plans and objectives are achieved
- Significant legislative and regulatory issues impacting the university and health system are recognized and appropriately addressed

Opportunities for improving management controls and financial performance and for protecting the reputation of the university and health system may be identified, and will be addressed with the appropriate level of management.

Accountability

The Executive Director of Audit and Compliance Services shall be accountable to the Board of Visitors, through the Audit, Integrity, and Compliance Committee, and the Board of Directors, through the Audit and Compliance Committee, to maintain comprehensive and professional internal audit and compliance programs. In fulfilling those responsibilities, the Executive Director will:

- Establish annual goals and objectives for the department, and report periodically on the status of those efforts.
- Execute the annual audit and compliance work plans and initiatives.
- Coordinate efforts with other control and monitoring functions (risk management, campus police, university counsel and health system general counsel, external auditors, etc.).
- Report significant issues related to the department's scope of work, including potential improvements, and continue to provide information about those issues through resolution.
- Provide updates to the respective board committees, the university president, and the chief executive officer of the health system on the status of the audit work plan, compliance initiatives, qualifications of staff, and sufficiency of department resources.

Independence and Objectivity

All work will be conducted in an objective and independent manner. Staff will maintain an impartial attitude in selecting and evaluating evidence and in reporting results. Independence in fact and appearance enables unbiased judgments that are essential to the proper conduct of the department's scope of work.

To provide an appropriate reporting structure to support independence, the Executive Director shall report to the Audit, Integrity, and Compliance Committee of the Board of Visitors and to the Audit and Compliance Committee of the Board of Directors. The Executive Director shall report administratively to the university's President.

Responsibility

The department will assist the Board of Visitors, Board of Directors, and management by:

- Maintaining a professional staff with sufficient knowledge, skills, and experience to fulfill the requirements of this charter.
- Developing and executing annual and long-range risk-based audit and compliance plans and initiatives. The plans and initiatives will be submitted to management for review and comment and to the respective board committee for approval. The department recognizes that one of

the primary benefits of these programs is the ability to respond to issues that arise during the normal course of business. Accordingly, the annual plans shall include time for management requests and special projects.

- Participating in an advisory capacity in the planning, development, implementation, or change of significant compliance and control processes or systems. The Executive Director shall ensure that the level of participation in these projects does not affect the department's responsibility for evaluating these processes or systems during future reviews nor compromise its independence.
- Conducting or assisting in the investigation of any suspected fraudulent activities, misconduct, or non-compliance issues, and notifying management and the respective board committees of the results.
- Issuing periodic reports to management and the respective board committees summarizing the results of the department's activities.
- Considering the scope of work of the external auditors, as appropriate, to provide optimal audit coverage to the university and health system at a reasonable overall cost.
- Reporting at least annually to the Board of Visitors, Board of Directors, and senior management on the department's purpose, authority, responsibility, and performance relative to its plans, and on its conformance to standards. Reporting should also include significant risk exposures and control issues, corporate governance issues, serious misconduct or non-compliance, and other matters needed or requested by the Board and senior management.

Authority

The department and its staff are authorized to:

- Have unrestricted access to all activities, records, property, and personnel. Cooperation from all university and health system personnel and affiliates is required.
- Have full access to the respective board committee.
- Allocate departmental resources, set audit frequencies, determine scopes of work, and apply the techniques necessary to accomplish audit objectives.
- Obtain the necessary assistance of personnel in departments when audits are performed, as well as that of other specialists.

The department and its staff are not authorized to:

- Perform operational duties in interim status, or otherwise, unless authorized in advance by the respective board committee.
- Initiate or approve accounting transactions external to the department.

Standards of Practice

The department will conduct its scope of work in accordance with requirements and best practices as established by relevant authoritative and objective sources from industry and government.

For internal audit functions, this includes both mandatory and recommended guidance from the Institute of Internal Auditors International Professional Practices Framework. The mandatory guidance requires our department to conform with the Core Principles for the Professional Practice of Internal Auditing, Definition of Internal Auditing, Code of Ethics, and *International Standards for the Professional Practice of Internal Auditing (Standards)*. Internal auditing is an independent, objective assurance, and consulting activity designed to add value and improve an organization's operations. Our department will help the university and health system accomplish its objectives by bringing a systematic, disciplined, and risk-based approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

For maintaining effective compliance programs, standards of practice are driven by the guidance provided in Chapter 8 of the Federal Sentencing Guidelines as promulgated by the US Sentencing Commission. The main focus of an effective program is to prevent and detect misconduct, remedy harm when identified, self-report where applicable, and maintain due diligence in promoting an organizational culture that encourages ethical conduct and a commitment to compliance with the law.

For the health system compliance program, guidance by the Health Care Compliance Association is also included. This organization sets the standard for professional values and ethics in the health care compliance field.

Quality Assurance and Improvement Program

The department will maintain a quality assurance and improvement program that covers all aspects of the internal audit activity. This program will be designed to:

- evaluate internal audit's conformance with the *Standards* and application of the Code of Ethics;
- assess the efficiency and effectiveness of the department; and
- identify opportunities for improvement.

The quality program includes both internal and external assessments. Internal assessments will include ongoing monitoring and periodic assessments of internal audit activity. An external assessment will be performed at least once every five years by qualified individuals who are independent of the internal audit function.

Audit, Integrity, and Compliance Committee FY2018 Goals and Dashboard Measures

Goals

For FY2018, the Audit, Integrity, and Compliance Committee will focus on the following topics:

- Data governance and information management efforts for business processes and institutional data under the stewardship of the Data and Information Management Council (DIMC)
- Security of data and information technology security infrastructure
- Enterprise Risk Management mitigation plans for identified risks
- University's compliance program
- Results from audits and special projects requiring Committee attention
- Legal matters, including EEOC updates

Dashboard Measures

- Data governance program progress
- Data security (Number of security incidents / breaches)
- ERM mitigation plans
- Compliance oversight monitoring (Major compliance requirements compared to known violations requiring the Committee's or Executive Management's attention)
 - Clery Act
 - Titles VII and IX
 - Title IV – Student Financial Assistance
 - Export Controls
 - NCAA
 - Grant/research compliance
 - Controlled substances
 - Environmental safety
- Planned audits status (to include both planned and unplanned projects) – comparison to available audit staffing resources (actual vs. planned chargeability)

University Support

Bill Cole, Executive Director of Audit and Compliance Services

Stephanie Hamlett, University Counsel

Alex Henson, Chief Information Officer

Kathleen Shaw, Vice Provost for Planning and Decision Support

Meredith Weiss, Vice President for Administration

Tom Briggs, Assistant Vice President – Safety and Risk Management

Laura Rugless, Director of Equity and Access Services

Other compliance partners, as necessary