



VCU

**VIRGINIA COMMONWEALTH UNIVERSITY
BOARD OF VISITORS**

1:00 P.M.

MAY 11, 2018

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

DRAFT

AGENDA

- 1. CALL TO ORDER & OPENING COMMENTS** Ms. Phoebe Hall, *Rector*

- 2. APPROVAL OF AGENDA** Ms. Phoebe Hall, *Rector*

- 3. APPROVAL OF MINUTES** Ms. Phoebe Hall, *Rector*
(March 22, 2018 and April 11, 2018 meetings)

- 4. PRESIDENT’S REPORT** President Michael Rao

- 5. FINANCE, BUDGET AND INVESTMENT COMMITTEE**

Report to the Board of Visitors Mr. William Ginther, Chair

Proposed 2018-2019 Tuition and Fees and University Budget Plan Presentation Ms. Karol Kain Gray, *Vice President for Finance and Budget*

Action Items:

- a. Approval of the proposed 2018-2019 Tuition and Fees and University Budget Plan

- b. Recommendation to approve an amendment to the 2018-2024 Six-Year Capital Outlay Plan to include construction of a \$7.6 million Rice Center Research Facility and selection of VIA Design Architects from Norfolk, VA as the project Architect/Engineer

- c. Recommendation to approve an amendment to the 2016-2022 Six-Year Capital Outlay Plan to increase the scope of work for the Humanities & Sciences/Science Technology Engineering and Math (STEM) building to include a chiller plant to serve Johnson and Shafer Court Dining Facility

- d. Recommendation to approve the project plans for the

Trani Life Sciences Roof Repair and HVAC replacement

- e. Recommendation to approve an amendment to the University's Six-Year Capital Outlay Plan to increase the project budget for the Siegel Center Chiller Replacement to allow for the construction of the replacement chiller system.

6. STRATEGIC PLAN – QUEST 2025: TOGETHER WE TRANSFORM

Action Item:

Approval of the Strategic Plan – Quest 2025: Together We Transform

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

7. CLOSED SESSION

Freedom of Information Act Sections 2.2-3711 (A) (1), (2), (3), (7), (8), (9) and (11) specifically:

Ms. Phoebe Hall, *Rector*

- a. Athletic Facilities Update - Acquisition or Disposition
- b. Closed session report from the Audit, Integrity and Compliance Committee
- c. Faculty Appointments and Changes in Status, Tenure Recommendations and Other Personnel Actions; Honorary Degree
- d. Appointment of the Student Representatives; Faculty Representatives; and Staff Representatives to the Board of Visitors
- e. Closed session report from the Academic and Health Affairs Committee
- f. Closed session report from University Resources Committee – Named Funds and Spaces Report and Named Funds under \$50,000

Mr. Edward K. McLaughlin, *Director of Athletics*

Mr. Keith Parker, *Chair*

Dr. Michael Rao, *President*

Dr. Michael Rao, *President*

Dr. Carol Shapiro, *Chair*

Rev. Tyrone Nelson, *Vice Chair*

8. RETURN TO OPEN SESSION AND CERTIFICATION

Ms. Phoebe Hall, *Rector*

Action Items from Closed Session:

- a. Approval of faculty appointments and changes in status, tenure recommendations and other personnel actions as discussed in closed session
- b. Appointment of the Student Representatives; Faculty Representatives; Staff Representatives to the Board

of Visitors

- c. Approval of Named Funds and Spaces Report and approved Named Funds under \$50,000 as discussed in closed session

9. UPDATE FROM UNIVERSITY HISTORY AND COMMUNITY RELATIONS WORKING GROUP

Dr. John Kneebone, *Professor of History and Chair of History Department, Co-Chair of Working Group*
Ms. Hannah Cameron, *graduate student, Co-Chair of Working Group*

10. ACADEMIC AND HEALTH AFFAIRS COMMITTEE

Dr. Carol S. Shapiro, *Chair*

Report to the Board of Visitors

Action Items:

- a. Recommendation to approve creation of a new graduate certificate in Special Education K-12 Teaching and authorizing the President and/or his designee to file the appropriate documentation with SCHEV and SACS as appropriate
- b. Recommendation to approve creation of a Ph.D. in Special Education and Disability Policy and authorizing the President and/or his designee to file the appropriate documentation with SCHEV and SACS as appropriate
- c. Recommendation to approve the revised Student Code of Conduct Policy
- d. Recommendation to approve the Bylaws of the Faculty

11. AUDIT, INTEGRITY AND COMPLIANCE COMMITTEE REPORT

Mr. Keith Parker, *Chair*

Report to the Board of Visitors

Action Items:

- a. Recommendation to approve Charter of the Audit, Integrity and Compliance Committee
- b. Recommendation to approve the FY 2019 Audit Work Plan
- c. Recommendation to approve the FY 2019 University Ethics and Compliance Program Initiatives

12. GOVERNANCE AND COMPENSATION COMMITTEE REPORT

Mr. John Luke, *Chair*

Report to the Board of Visitors

Action Items:

Recommendation to adopt the resolution Repeal VCU
Regulation 8 VCU 90-30 Guidelines for Demonstration on the
Campus of Virginia Commonwealth University

13. UNIVERSITY RESOURCES COMMITTEE REPORT

Rev. Tyrone Nelson, *Vice Chair*

Report to the Board of Visitors

14. OTHER BUSINESS

Ms. Phoebe Hall, *Rector*

15. ADJOURNMENT

Ms. Phoebe Hall, *Rector*



VCU

VIRGINIA COMMONWEALTH UNIVERSITY

**BOARD OF VISITORS
1:00 P.M.
MARCH 22, 2018
JAMES CABELL LIBRARY
901 PARK AVENUE, ROOM 311
RICHMOND, VIRGINIA**

DRAFT

MINUTES

BOARD MEMBERS PRESENT

Ms. Phoebe Hall, Rector
Mr. John A. Luke Jr., Vice Rector
Dr. Carol Shapiro, Secretary
Mr. H. Benson Dendy III
Mr. William M. Ginther
Mr. Todd Haymore
Dr. Robert Holsworth
Mr. Edward McCoy
Mr. Ron McFarlane
Mr. Keith Parker
Ms. Jacquelyn Stone
Mr. G. Richard Wagoner, Jr.

BOARD MEMBERS ABSENT

Ms. Colette W. McEachin
Mr. Alexander B. McMurtrie, Jr.
Reverend Tyrone E. Nelson
Dr. Shantaram Talegaonkar

OTHERS PRESENT

President Michael Rao, Ph.D.
Michele N. Schumacher, J.D., Assistant to the President and Board Liaison
Mr. Jacob Belue, Interim University Counsel
Faculty and Staff from VCU
Members of the Media

CALL TO ORDER

Ms. Phoebe Hall, Rector, called the meeting of the Board of Visitors of Virginia Commonwealth University to order at 1:00 p.m. in the James Cabell Library, 901 Park Avenue, Room 311,

Richmond, Virginia.

APPROVAL OF AGENDA

Ms. Hall asked for a motion to approve the Agenda as published. After motion duly made and seconded the Agenda as published was unanimously adopted.

APPROVAL OF MINUTES

Ms. Hall asked for a motion to approve the minutes of the December 8, 2017 meetings of the Virginia Commonwealth University Board of Visitors, as published. After motion duly made and seconded the Minutes of the December 8, 2017 meetings of the Board of Visitors 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, began his remarks by welcoming Mr. Todd Haymore to the Board of Visitors who began his term on the Board in January. He then provided an oral report on activities and accomplishments at the University since the December 2017 Board of Visitors meeting. He provided updates on the vision and priorities of the University, noting that the priorities are aligned with the two strategic plans, the university's Quest 2025-Together We Transform and the health system's Vision by Design. President Rao articulated that these priorities, (i) the undergraduate experience, (ii) research focus and profile, and (iii) Vision by Design, are geared to achieve a vision to stand among our tier 3 peers as a nationally preeminent national urban public research university and academic health center. President Rao also noted that the state budget had not yet been decided, which leaves uncertainty in both university and VCU Health System budgets.

President Rao also honored Dr. Grace E. Harris who died last month. He noted that Dr. Harris was someone who truly was a transformative figure in VCU's history, and she left an amazing legacy of contributions over her pioneering 48-year career at VCU.

REPORT FROM THE ACADEMIC AND HEALTH AFFAIRS COMMITTEE

The Committee Chair, Dr. Carol S. Shapiro, gave the Academic and Health Affairs 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;
- A strategic planning update from Dr. Gail Hackett and Dr. Shapiro on the progress toward the new strategic plan Quest 2025:Together we Transform. It was noted that the committee reviewed a revised mission and vision statement. Dr. Shapiro also reminded the Board that both she and Ms. Jacquelyn Stone serve as Board representative s on the strategic planning committee.

- A report from the faculty representative, Ms. Holly Alford;
- A report from the staff representative, Ms. Lauren Katchuck.
- A report from the student representatives to the Board, Ms. Katie Pumphrey and Ms. Sarah Izabel.

Dr. Shapiro also noted that there were several action items for Board approval. Dr. Shapiro moved on behalf of the Committee that the Board approve the following proposals:

- (a) to modify the Criminal Justice, M.S.
- (b) to offer a Graduate Certificate in Sustainability
- (c) to modify the M.Ed. in Counselor Education
- (d) to change the degree designation of the Master of Education (M.Ed.) in Sport Leadership to the Master of Sport Leadership (M.S.L.) in Sport Leadership
- (e) to create a new Post-Baccalaureate Certificate in Cybersecurity
- (f) to create a new Post-Baccalaureate Certificate in Data Science

After a second duly made, and discussion the Board approved the motion (a) to modify the Criminal Justice, M.S.; (b) to offer a new Graduate Certificate in Sustainability; (c) to modify the M.Ed. in Counselor Education; (d) to change the degree designation of the Master of Education (M.Ed.) in Sport Leadership to the Master of Sport Leadership (M.S.L.) in Sport Leadership; (e) to create a new Post-Baccalaureate Certificate in Cybersecurity; (f) to create a new Post-Baccalaureate Certificate in Data Science; and authorized the President and/or his designee, in connection with said proposals set forth in the motion to file any and all necessary paperwork with the State Council of Higher Education for Virginia (SCHEV) and/or the accrediting agency for the University, SACS, as may be required.

REPORT FROM THE AUDIT, INTEGRITY AND COMPLIANCE COMMITTEE

The Committee Chair, Mr. Keith Parker, presented the Audit, Integrity and Compliance Committee report and noted that the Committee heard the following reports and updates:

- An update on the Committee dashboard from Mr. Alex Henson, the Chief Information Officer;
- An update on the university's sexual harassment prevention education/training from Ms. Laura Rugless, Director for Equity and Access Services;
- Mr. William Cole, Executive Director of Audit and Compliance Services, provided the Conflict of Interest Update for Commonwealth reporting requirements noting that all Board members and employees required to report completed this requirement by the deadline. Mr. Cole also provided an audit plan;
- Ms. Jacqueline Kniska, Integrity and Compliance Officer, provided a policy status update;
- An update on the ERM Steering Committee Progress from Mr. Thomas Briggs, Assistant Vice President for Safety and Risk Management.

REPORT FROM THE FINANCE, BUDGET AND INVESTMENT COMMITTEE

The Committee Chair, Mr. William Ginther, presented the Finance, Budget and Investment

Committee Report and noted that the Committee heard the following reports and updates:

- o A report from Dr. Meredith Weiss, Vice President for Administration, that included an analysis of the university's facilities and recommendations on proper investments in capital outlay to address deferred maintenance and critical issues on both campuses. Dr. Weiss also reported that a contract has been awarded to Woodland Construction for renovations on the 8th floor of West Hospital;
- o A report from Ms. Karol Kain Gray, Vice President for Finance and Budget, that provided updates on (i) the new procure-to-pay system being developed with Jaggaer, and (ii) the university's debt. Ms. Gray also presented the Treasurer's Report.

Mr. Ginther also reported that the Committee received several informational reports including the Sources and Uses funding for FY18, the Revenue and Expense Quarterly Summary, VCU Intercollegiate Athletics Programs year end report; the VCU Health System and Financial Operations; Capital Projects Update; the Finance, Budget & Investment Committee Dashboards, and, the campaign pledges to date from the Development Office

Mr. Ginther also stated that the Committee had several action items requiring Board approval. He then moved on behalf of the Committee approval of the Resolution for Authorization of Line of Credit for Engineering Research Building. After a second and discussion the Resolution was unanimously adopted.

Mr. Ginther then moved on behalf of the Committee that the Board approve the following architect/engineer and/or project plans:

- i. **A/E Selection D Deck Renovations** – This project consists of the application of a corrosion inhibitor, addition of a traffic bearing membrane and miscellaneous concrete repairs totaling \$4.5 million. Dunbar Milby Pittman and Vaughn is the selected architect for the project.
- ii. **A/E Selection Trani Life Sciences Building Roof Repair and Replacement** - This project will replace the rooftop mechanical system and the roof membrane on the Eugene P. and Lois E. Trani Center for Life Sciences totaling \$6 million. DJG, Inc. is the selected architect for the project. Mr. Ginther noted that the Committee is also recommending in connection with this selection that the university's six-year capital outlay plan also be amended to include this project.
- iii. **A/E Selection West Hospital Department of Transplant Renovation** - This project is to consolidate and modernize facilities to accommodate the School of Medicine's Department of Transplant Surgery on the 8th and 15th floor of West Hospital totaling

\$2.275 million. KOP architect is the selected firm.

- iv. **Project Plans – West Main Street Deck Restorations** - This project consist of repairing spalling concrete, cracks in concrete columns, girders and beams, and replacement of deteriorated expansion joints. Repair of the stairs towers and replacement of the elevators and lighting are also included in this \$5.8 million project with funding from Parking Revenues and University Debt.

After motion being seconded and discussion, the Board approved the amendment to the six-year capital out lay plan and the selection of the architects/engineers and project plans as set forth in the motion.

REPORT FROM THE GOVERNANCE AND COMPENSATION COMMITTEE

The Governance and Compensation Committee Report was provided by the Committee Chair, Mr. John Luke, who reported that the Committee reviewed for approval two university wide policies. First, Dr. Charles Klink reviewed the Revised Policy on Alcohol and Other Drugs with Committee, and noted that additional definitions and a new section regarding accessing support and treatment had been added, and updated resources for assistance. All VCU, VCU Health System Faculty and all students are affected by this policy. The second policy was presented by Dr. Francis Macrina who reviewed the Intellectual Property Policy. This policy has been completely rewritten to clarify the Institution’s stance on Intellectual Property and to better define the types of intellectual property and their handling. In addition this policy will generally have minimal impact on most VCU employees or students, except for those who develop intellectual property.

Mr. Luke then moved on behalf of the Committee that the Board approve the Revised Policy on Alcohol and Other Drugs and the Intellectual Property Policy which can be found in your board books. After the motion being seconded and discussion, the Board unanimously approved the Revised Policy on Alcohol and Other Drugs as well as the Intellectual Property Policy

REPORT FROM UNIVERSITY RESOURCES COMMITTEE

The Committee Chair, Mr. G. Richard Wagoner, Jr., presented the University Resources Committee report and stated that the Committee heard the following reports and updates:

- o Mr. Matthew Conrad, Executive Director of Government Relations, and Ms. Karah Gunther, Executive Director Government Relations and Health Policy, provided the government relations report on the activities and results of the 2018 Session of the General Assembly;
- o Ms. Pamela D. Lepley, Vice President for University Relations provided a summary of communication highlights since the December 2017 meeting.
- o Mr. Jay Davenport, Vice President for Development and Alumni Relations provided a summary of fundraising activities and highlights since December 2017.

REPORT FROM THE NOMINATING COMMITTEE

The Rector excused herself during the report of the Nominating Committee. Dr. Carol Shapiro stated that the nominating committee had met and she moves on behalf of the Committee that Ms. Phoebe Hall be elected to serve as Rector for a second term, commencing July 1, 2018. After the motion being seconded and discussion, the Board voted to elect Ms. Phoebe Hall as Rector for a second term by a vote of 11 in favor with Ms. Hall abstaining from the vote.

CLOSED SESSION

Ms. Hall , moved that the Board of Visitors go into Closed Session pursuant to Sections 2.2-3711(A)(1), (2), (3), (7), (8), (9), (11), and (29) of the Freedom of Information Act, that the Virginia Commonwealth University Board of Visitors go into “Closed Session” for the discussion of personnel matters, more specifically relating to the performance compensation / contract of the President of Virginia Commonwealth University and to 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;, and relating to a review of faculty appointments and changes in status including tenure; discussion or consideration of 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 public body specifically related to the acquisition of real property; legal advice pertaining to potential litigation and legal advice concerning contractual issues; discussion and consideration of honorary degrees and special awards specifically special awards for Spring Commencement 2018; and for the discussion of gifts and fundraising including named funds and spaces report.

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 Hall	X	
Mr. John A. Luke, Jr., Vice	X	
Dr. Carol S. Shapiro, Secretary	X	
Mr. H. Benson Dendy III	X	
Mr. William M. Ginther	X	
Dr. Robert D. Holsworth	X	
Mr. Ed McCoy	X	
Mr. Ron McFarlane	X	
Mr. Keith Parker	X	
Ms. Jacquelyn Stone	X	
Mr. G. Richard Wagoner, Jr.	X	

Mr. Todd Haymore left the meeting during the closed session. All remaining members responding affirmatively, the resolution of certification was unanimously adopted.

On motion made and seconded the Board of Visitors unanimously approved the following (1) the recipient of the BOV Scholarship and the award to the two runners up; (2) the faculty appointments and changes in status and other personnel actions as discussed in closed session; (3) the funds eligible for naming and the funds eligible for naming under \$50,000 as discussed in closed session; and (4) the two real estate items as discussed in closed session.

Mr. Luke then moved that the Board of Visitors authorize the Rector and the Chair of the Governance and Compensation Committee to finalize with the president and the VCUHS Authority the contract language consistent with the contract changes discussed in closed session. After a second the motion was unanimously adopted.

ADJOURNMENT

With no further business to come before the Board, Ms. Phoebe Hall, Rector adjourned the meeting at 4:00 p.m.



**JOINT MEETING OF THE VIRGINIA COMMONWEALTH UNIVERSITY HEALTH
SYSTEM AUTHORITY BOARD OF DIRECTORS**

AND

THE VIRGINIA COMMONWEALTH UNIVERSITY BOARD OF VISITORS

5:30 P.M.

APRIL 11, 2018

THE BOATHOUSE AT ROCKETTS LANDING

4708 OLD MAIN STREET

RICHMOND, VA 23231

MINUTES

DRAFT

VIRGINIA COMMONWEALTH UNIVERSITY BOARD MEMBERS PRESENT

Ms. Phoebe P. Hall, Rector
Mr. H. Benson Dendy III
Dr. Robert Holsworth
Mr. Edward McCoy
Ms. Colette McEachin
Mr. Ron McFarlane
Rev. Tyrone Nelson
Dr. Carol Shapiro
Dr. Shantaram Talegaonkar

VIRGINIA COMMONWEALTH UNIVERSITY BOARD MEMBERS ABSENT

Mr. John A. Luke, Jr., Vice Rector (joint membership)
Mr. William M. Ginther
Mr. Todd Haymore
Mr. Alexander B. McMurtrie, Jr. (joint membership)
Mr. Keith Parker (joint membership)
Ms. Jacquelyn E. Stone
Mr. G. Richard Wagoner, Jr.

**VIRGINIA COMMONWEALTH UNIVERSITY HEALTH SYSTEM
AUTHORITY BOARD MEMBERS PRESENT**

Honorable Kirk Cox
Mr. Steven DeLuca
Dr. Lisa Ellis
Mr. George P. Emerson, Jr.
Ms. Mary Fox
Ms. Phoebe P. Hall (joint membership)
Ms. Lisa Hicks-Thomas
Dr. Gopinath Jadhav
Hon. James P. Massie, III

Dr. Bruce Mathern
Honorable Ryan McDougle
Dr. Michael Rao
Dr. Marsha Rappley
Dr. Shantaram Talegaonkar (joint membership)
Dr. Michelle Whitehurst-Cook
Dr. William Zuelzer

**VIRGINIA COMMONWEALTH UNIVERSITY HEALTH SYSTEM
AUTHORITY BOARD MEMBERS BOARD MEMBERS ABSENT**

Dr. Arline Bohannon
The Honorable Eva Teig Hardy
Mr. John A. Luke, Jr. (joint membership)
Mr. Alexander B. McMurtrie, Jr. (joint membership)
Mr. Keith Parker (joint membership)

OTHERS PRESENT

Mr. Paul Neimeyer
Ms. Michele N. Schumacher
Ms. Mary Tacconi
Virginia Commonwealth University and Virginia Commonwealth University Health System
Authority Staff and Guests

CALL TO ORDER

Ms. Phoebe Hall., Rector, and Dr. Michael Rao, Chair, called the meeting to order at 6:25 p.m.

CLOSED SESSION

Ms. Hall moved that the Board of Visitors go into Closed Session pursuant to Sections 2.2-3711(A)(1), of the Freedom of Information Act, that the Virginia Commonwealth University Board of Visitors and the Virginia Commonwealth University Health System Authority Board of Directors go into “Closed Session” for the discussion of personnel matters, more specifically relating to the compensation / contract of the President of Virginia Commonwealth University and the compensation / contract of the Vice President for Health Sciences and the CEO of the VCU Health System. After motion duly seconded the Boards went into closed session.

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 Hall	X	
Dr. Carol Shapiro	X	
Mr. H. Benson Dendy III	X	
Dr. Robert Holsworth	X	
Mr. Ed. McCoy	X	
Ms. Colette McEachin	X	
Mr. Ron McFarlane	X	
Dr. Shantarem Talegaonkar	X	
Dr. Lisa Ellis	X	
Honorable Kirk Cox	X	
Mr. Steven DeLuca	X	
Mr. George Emerson	X	
Ms. Mary Fox	X	
Ms. Lisa Hicks-Thomas	X	
Dr. Gopinath Jadhav	X	
Hon. James P. Massie	X	
Dr. Bruce Mathern	X	
Honorable Ryan McDougle	X	
Dr. Michelle Whitehurst-Cook		
Dr. William Zuelzer		

Dr. Marsha Rappley and Dr. Michael Rao left during closed session.

After the closed session Ms. Hall asked for a motion to approve the compensation and contract for Dr. Michael Rao, President of Virginia Commonwealth University as discussed in closed session, and the contract amendment for Dr. Marsha Rappley, Vice President for Health Sciences and CEO of the VCU Health System as discussed in closed session. After motion being seconded the compensation and contract for Dr. Michael Rao, President of Virginia Commonwealth University, and the compensation and contract amendments for Dr. Marsha Rappley, Vice President for Health Sciences and CEO of the VCU Health System, were unanimously approved, it being noted that Dr. Rao and Dr. Rappley were not present for this

vote and did not participate in the approval of either the compensation, contract, and/or contract amendments.

Ms. Phoebe Hall recessed the meeting at 6:30 p.m. for dinner

RECONVENED MEETING

Ms. Hall and Dr. Rao reconvened the meeting at 7:25 p.m.

PRESENTATION BY DR. MARSHA RAPPLEY

Dr. Marsha Rappley provided an update on Virginia Commonwealth University Health System Authority's strategic plan, Vision by Design.

ADJOURNMENT

With no further business to come before the board, Ms. Hall and Dr. Rao adjourned the meeting at 8:25 p.m.

Proposed FY2018-19 University Budget Plan and Tuition and Fees

Karol Kain Gray, VP for Finance and Budget

May 11, 2018

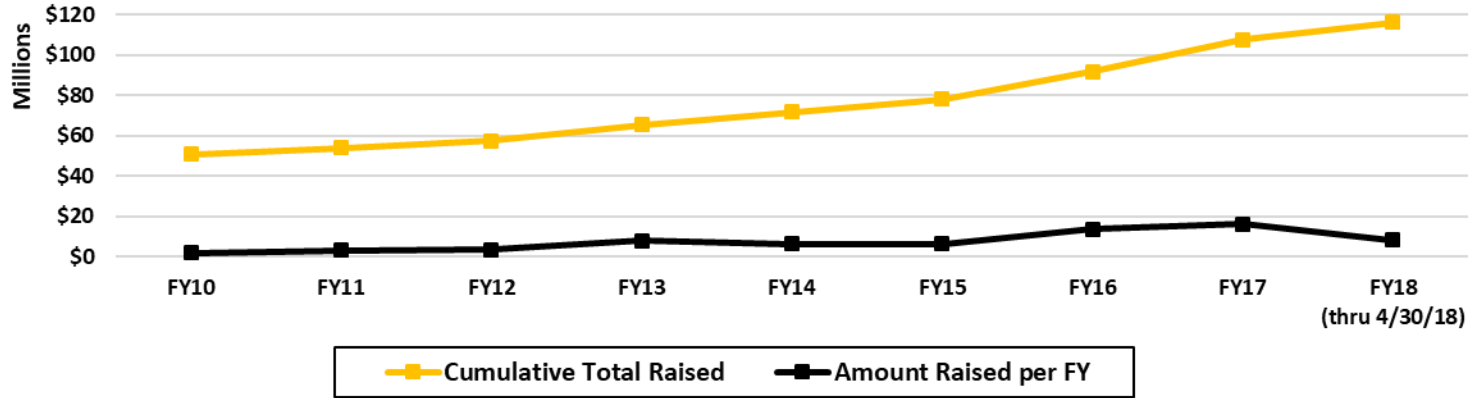


Agenda

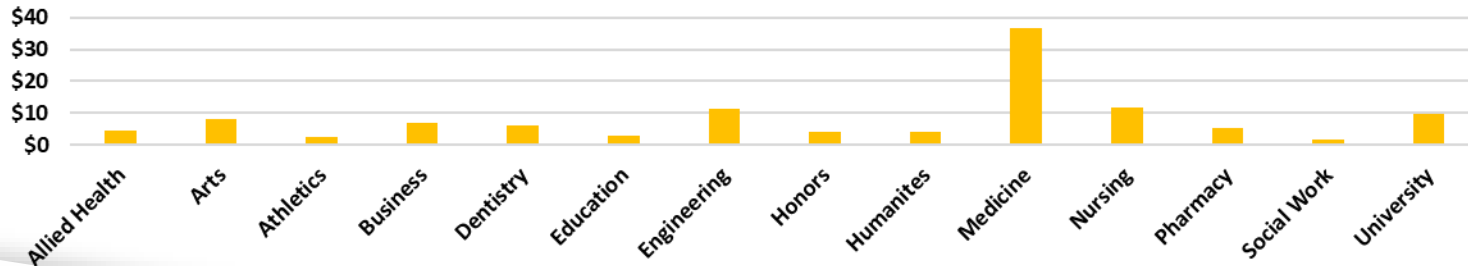
- Update from March Workshop
 - Development
 - Enrollment
 - Status of State budget
- Overview of FY2018-2019 Budget Plan
 - Recommended Tuition and Fees – FY2019
 - All Funds FY2019 Budget

Scholarship Fundraising

Scholarship Fundraising by Fiscal Year



Scholarship Fundraising by Unit



State Budget Changes (as of House Special Session)

Proposed Amendments to HB29,30/ SB29,30

Operating Item	Governor		House (Special Session)		Senate	
	FY19	FY20	FY19	FY20	FY19	FY20
Technical Adjustment to Central Operating Funds	8,753,580	8,753,580	8,753,580	8,753,580	8,753,580	8,753,580
Need-Based UG Financial Aid	2,663,480	4,550,404	2,663,480	4,550,404	1,331,740	2,275,202
Degree Completion/Base Operations	-	-	2,136,690	4,273,380	-	2,000,000
Rebates (\$269,669 for credit card & ~\$900k for interest earnings)	Restores		Restores		Restores	
2% Salary Increase	-	2,378,727	-	4,077,818	-	-
1% Merit Based Salary Increase for Classified & University Employees	-	-	-	1,024,475	-	-
Teacher Residency Partnerships	-	-	-	-	Additional funding	
Maintenance Reserve	2,700,000	2,700,000	2,700,000	2,700,000	2,700,000	2,700,000
	<u>14,117,060</u>	<u>18,382,711</u>	<u>16,253,750</u>	<u>25,379,657</u>	<u>12,785,320</u>	<u>15,728,782</u>

FY2019: Shaping our future

1. Selectively investing in strategic priorities
2. Growing and diversifying revenues
3. Strategically implementing reallocations and cost containment

FY2019 Budget Requests

Highest Priority Needs	\$(000)
Salary Increase at 1.5% University Staff and 3% Faculty (eff. July 1, 2018)	8,377
Faculty (Strategic Hires, Adjunct Pay Increase, Faculty Promotions)	5,189
UG Financial Aid	6,096
Subtotal Highest Priority	19,662
Academic & Administrative Priorities	
Academic Needs (Advising, Student Success Initiatives)	1,391
Compliance & Safety	1,836
Central Operational Needs (HR, University Relations, Inclusive Excellence)	2,836
Graduate Financial Aid	1,460
Deferred Maintenance	1,000
Subtotal Academic & Administrative Priorities	8,523
Unavoidable Costs	
Operational Needs (Contractual Cost Increases, O&M, fringe rate)	5,185
Total Requests to E&G	<u><u>\$33,370</u></u>

Strategic Priorities

Faculty Recruitment and Retention

Merit-based increase for Teaching & Research faculty salaries (3%), faculty hires for accreditation and strategic needs, faculty promotions, adjunct salaries increase

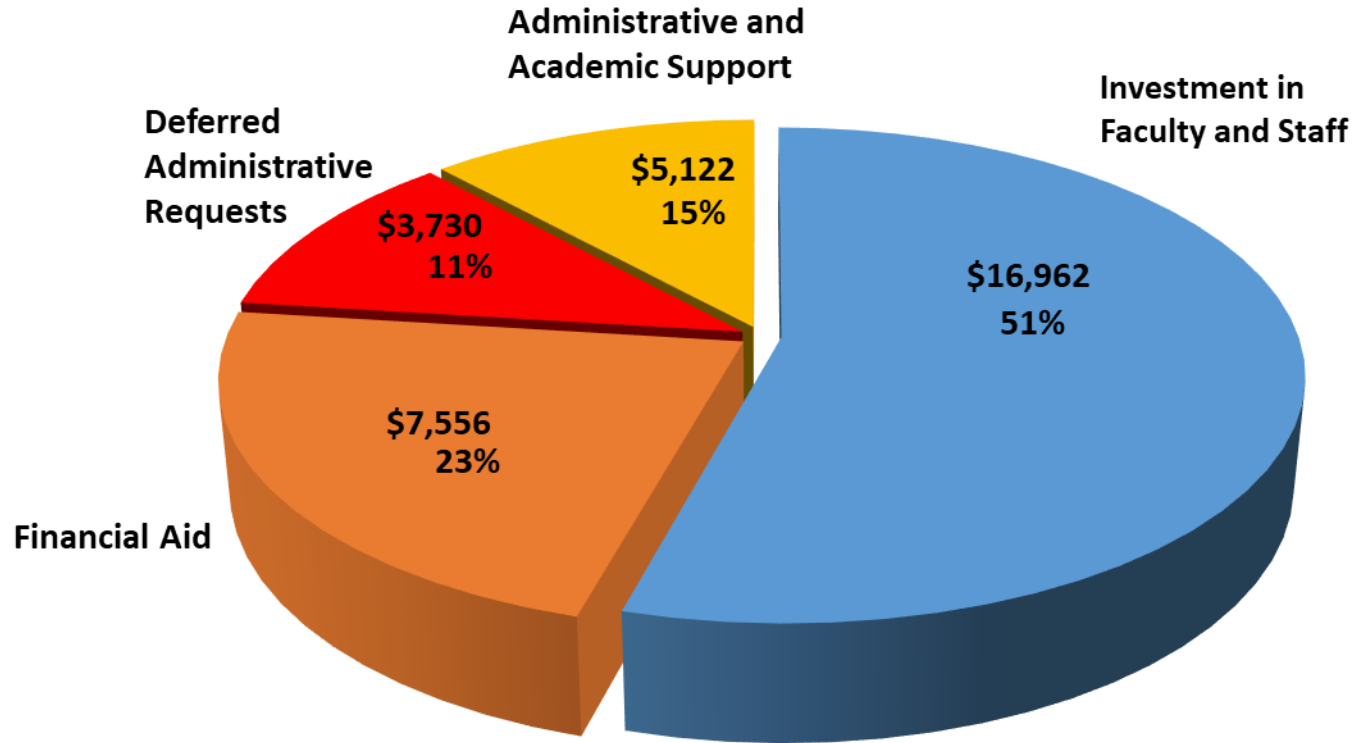
Student Aid, Access, and Success

Increase undergraduate need and merit aid, graduate aid and advising resources

Improving Academic & Administrative Support

Merit-based increase for University staff salaries (1.5%), funding for safety, compliance and to assist with deferred maintenance needs in addition contractual increases

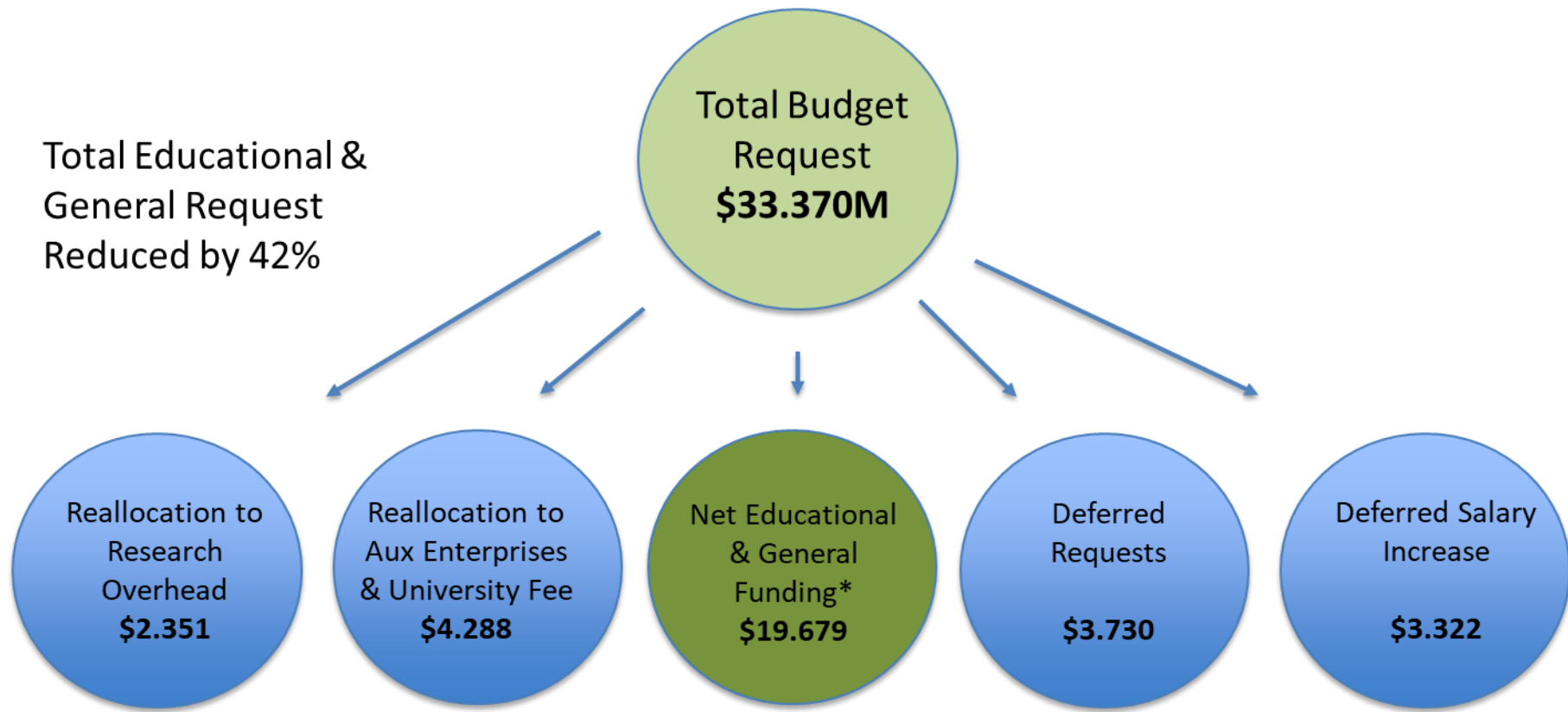
FY2019 Overview – Funding Requests



Funding Strategies

- Conducting assessments to ensure strategic goals are funded and advanced
- Taking an all-funds, multi-year approach
- Balancing tuition rate increases across the next three years
- Deferral of salary increase for faculty and staff by five months to December 1, 2018

Funding FY2019: Reallocation to All Funds, Deferred Requests



*Increase of 1.6 % vs. HEPI of 3.7%

FY2019 Overview

Tuition & Mandatory Fee % Increase (Resident)	6.4%	6.8%	7.2%	7.4%	7.6%	8.1%
Tuition Rate Increase	6.6%	7.0%	7.5%	7.7%	8.0%	8.5%
<u>FY2019 Proposed Revenue Growth</u>						
FY2019 Proposed Tuition Revenue Growth <i>Increase of 1.6 % on E&G budget</i>	\$ 19,360	\$20,690	\$22,352	\$23,016	\$24,014	\$25,677
<u>FY2019 Proposed Expense Growth</u>						
FY2019 Requests	(33,370)	(33,370)	(33,370)	(33,370)	(33,370)	(33,370)
Reallocation to Other Sources	6,898	6,898	6,898	6,898	6,898	6,898
Net Proposed Expense Growth	(26,472)	(26,472)	(26,472)	(26,472)	(26,472)	(26,472)
Net Position	(7,112)	(5,782)	(4,120)	(3,456)	(2,458)	(795)
Deferral of Administrative Needs	(3,730)	(3,730)	(3,730)	(3,730)	(3,730)	(3,730)
Delayed Salary Increase Implementation (Dec 1, 2018)	(3,293)	(3,293)	(3,293)	(3,293)	(3,293)	(3,293)
Projected Net Position	(\$89)	\$1,241	\$2,903	\$3,567	\$4,565	\$6,228
Tuition & Mandatory Fee \$ Increase - Per Academic Year (Resident)	\$ 866	\$ 924	\$ 982	\$ 1,010	\$ 1,040	\$ 1,068

Summary of Recommended Tuition and Fees – FY2019

Proposed Tuition & Fees

<u>Undergraduate</u>	<u>Resident</u>	<u>Non-Resident</u>
Proposed Tuition & Fees Total Increase	6.4%	6.4%
FY2019 Tuition & Fees	6.6%	6.6%
Tuition-15 Credit Hour	\$12,094	\$32,742
Mandatory Fees	<u>2,396</u>	<u>3,056</u>
FY2019 Tuition & Fees	<u>14,490</u>	<u>35,798</u>
FY2018 Tuition & Fees		
Tuition-15 Credit Hour	11,340	30,712
Mandatory Fees	<u>2,284</u>	<u>2,944</u>
FY2018 Tuition & Fees	<u>13,624</u>	<u>33,656</u>
Proposed \$ Increase- Per Academic Year	\$866	\$2,142

Summary of Mandatory Fee Recommendations

- Fee increases of:

5%	\$112	Total Mandatory Undergraduate Fees
0%	\$0	Capital Outlay Fee – pending State budget
2.7%	\$165	Housing
1.9%	\$76	Dining
2.9%	\$12.50	Parking

Recommended Tuition & Fees, Room & Board – FY 2019

	RESIDENT		NON-RESIDENT	
	2017-18	2018-19	2017-18	2018-19
Tuition 15 Credit hours	\$11,340	\$12,094	\$30,712	\$32,742
University Fee	1,845	1,938	1,845	1,938
Technology Fee	83	83	83	83
Library Fee	60	70	60	70
Health Service Fee	206	215	206	215
Student Activity Fee	90	90	90	90
Capital Outlay Fee (non-resident)	N/A	n/a	660	660
TOTAL: TUITION & MANDATORY FEES	\$13,624	\$14,490	\$33,656	\$35,798
Room	6,199	6,364	6,199	6,364
Board	3,988	4,064	3,988	4,064
TOTAL: TUITION & MANDATORY FEES & ROOM & BOARD	\$23,811	\$24,918	\$43,843	\$46,226

Tuition & Fees Recommendations for FY2019

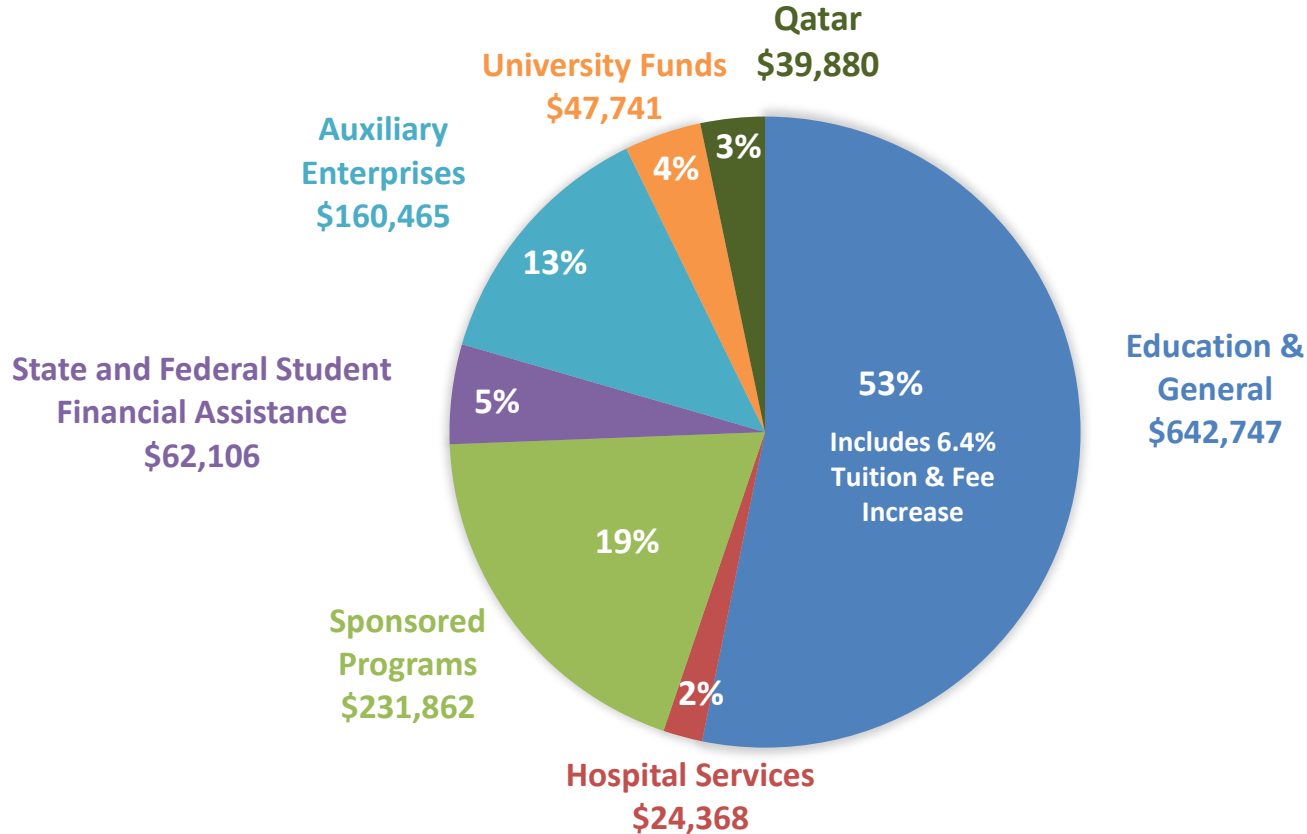
- Adopt combined **tuition and mandatory fees** increases of:

6.4%	\$866	Virginia Undergraduates
6.4%	2,142	Nonresident Undergraduates
6.3%	863	Resident Masters level students
6.3%	1,657	Nonresident Masters level students
6.3%	732	Resident Doctoral students
6.3%	1,434	Nonresident Doctoral students
3.1%	1,039	Resident Medicine
4.9%	2,574	Nonresident Medicine
7.1%	3,571	Resident Dentistry
7.0%	5,562	Nonresident Dentistry
3.6%	941	Resident Pharmacy
3.4%	1,291	Nonresident Pharmacy

All Funds FY2018-19 Budget

All Funds FY 2018-19 Budget (\$1.2 Billion)

(In Thousands)



Virginia Commonwealth University - 2018-2019 University Budget Plan
Sources Summary (in thousands)

FY 2018-2019 Sources	Educational & General Programs	Sponsored Programs			Auxiliary Enterprises	Qatar	University Funds	Student Financial Assistance	Hospital Services	Total University	Change from 2017-18 Budget Plan	
		Direct Costs	Facilities & Admin. Costs								Amount	Percent
State General Fund												
Direct Appropriations	\$ 170,040	\$ 14,013	\$ -	\$ -	\$ -	\$ -	\$ 30,063	\$ -	\$ 214,116	-	0.0%	
Central Transfers	3,997	-	-	-	-	-	-	-	\$ 3,997	-	0.0%	
State General Fund	\$ 174,037	\$ 14,013	\$ -	\$ -	\$ -	\$ -	\$ 30,063	\$ -	\$ 218,113	\$ -	0.0%	
Nongeneral Funds												
Student Tuition and Fees	448,192	-	-	56,721	-	-	-	-	504,913	28,062	5.9%	
Grants and Contracts	-	187,874	40,000	-	-	-	32,043	-	259,917	17,515	7.2%	
Gifts and Investment Earnings	100	-	-	5,630	-	42,598	-	-	48,328	4,282	9.7%	
Sales and Services	10,065	-	-	92,482	39,974	-	-	24,368	166,889	4,636	2.9%	
Other Sources	327	-	-	5,632	-	5,143	-	-	11,102	519	4.9%	
Total Nongeneral Funds	458,684	187,874	40,000	160,465	39,974	47,741	32,043	24,368	991,149	55,014	5.9%	
Transfers (in) out	10,025	-	(10,025)	-	-	-	-	-	-	-	n/a	
Total University Sources	\$ 642,746	\$ 201,887	\$ 29,975	\$ 160,465	\$ 39,974	\$ 47,741	\$ 62,106	\$ 24,368	\$ 1,209,262	\$ 55,014	4.8%	

Virginia Commonwealth University - 2018-2019 University Budget Plan
Expenditure Summary (in thousands)

	Educational & General Programs	Sponsored Programs			Qatar	University Funds	Student Financial Assistance	Hospital Services	Total University	Change from 2017-18 Budget Plan	
		Direct Costs	Facilities & Admin. Costs	Auxiliary Enterprises						Amount	Percent
FY 2018-2019 Uses											
Instruction	\$ 329,147	\$ -	\$ -	\$ -	\$ 39,974	\$ 4,755	\$ -	\$ -	\$ 373,876	\$ 3,921	1.1%
Research	12,805	201,887	21,188	-	-	10,564	-	-	246,444	34,601	16.3%
Public Service	4,938	-	-	-	-	1,912	-	-	6,850	(220)	-3.1%
Academic Support	100,207	-	578	-	-	10,720	-	-	111,505	1,666	1.5%
Student Services	15,873	-	-	-	-	646	-	-	16,519	(1,746)	-9.6%
Institutional Support	85,656	-	981	-	-	9,354	-	-	95,991	(1,467)	-1.5%
Operation and Maintenance of Plant	58,603	-	3,912	-	-	1,183	-	1,000	64,698	536	0.8%
Scholarships and Fellowships	2,765	-	1,716	-	-	8,607	93,382	-	106,470	9,294	9.6%
Auxiliary Enterprises	-	-	-	152,652	-	-	-	-	152,652	15,109	11.0%
Hospital Services	-	-	-	-	-	-	-	23,368	23,368	(2,559)	-9.9%
Subtotal Uses	609,994	201,887	28,375	152,652	39,974	47,741	93,382	24,368	1,198,373	59,135	5.2%
Transfers (in) out ⁽¹⁾	28,364	-	-	2,912	-	-	(31,276)	-	-	-	n/a
Addition to Reserves	-	-	-	865	-	-	-	-	865	(5,495)	545.7%
Contingencies	4,388	-	1,600	4,036	-	-	-	-	10,024	1,374	15.9%
Subtotal Contingencies and Transfers	32,752	-	1,600	7,813	-	-	(31,276)	-	10,024	1,374	15.9%
Total University Uses	\$ 642,746	\$ 201,887	\$ 29,975	\$ 160,465	\$ 39,974	\$ 47,741	\$ 62,106	\$ 24,368	\$ 1,209,262	\$ 55,014	4.8%

Questions

Proposed FY2018-19 University Budget Plan and Tuition and Fees

Karol Kain Gray, VP for Finance and Budget

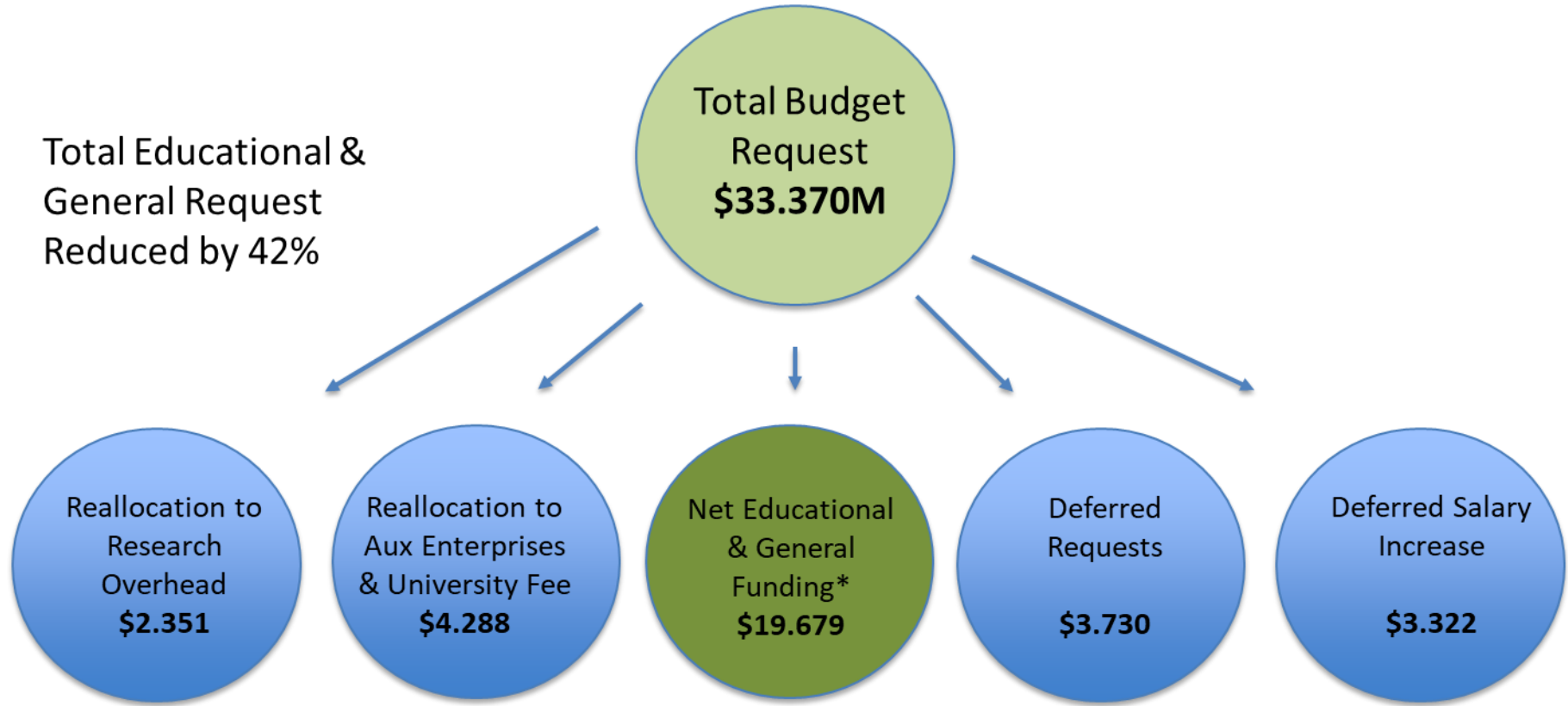
May 11, 2018



Overview of FY2018-2019 Budget Plan

- FY2018-2019 Recommended Tuition and Fees
- FY2018-2019 All Funds Budget

Funding FY2019: Reallocation to All Funds, Deferred Requests



*Increase of 1.6 % vs. HEPI of 3.7%

FY2019 Overview

Tuition & Mandatory Fee % Increase (Resident)	6.4%	6.8%	7.2%	7.4%	7.6%	8.1%
Tuition Rate Increase	6.6%	7.0%	7.5%	7.7%	8.0%	8.5%
<u>FY2019 Proposed Revenue Growth</u>						
FY2019 Proposed Tuition Revenue Growth <i>Increase of 1.6 % on E&G budget</i>	\$ 19,360	\$20,690	\$22,352	\$23,016	\$24,014	\$25,677
<u>FY2019 Proposed Expense Growth</u>						
FY2019 Requests	(33,370)	(33,370)	(33,370)	(33,370)	(33,370)	(33,370)
Reallocation to Other Sources	6,898	6,898	6,898	6,898	6,898	6,898
Net Proposed Expense Growth	(26,472)	(26,472)	(26,472)	(26,472)	(26,472)	(26,472)
Net Position	(7,112)	(5,782)	(4,120)	(3,456)	(2,458)	(795)
Deferral of Administrative Needs	(3,730)	(3,730)	(3,730)	(3,730)	(3,730)	(3,730)
Delayed Salary Increase Implementation (Dec 1, 2018)	(3,293)	(3,293)	(3,293)	(3,293)	(3,293)	(3,293)
Projected Net Position	(\$89)	\$1,241	\$2,903	\$3,567	\$4,565	\$6,228
Tuition & Mandatory Fee \$ Increase - Per Academic Year (Resident)	\$ 866	\$ 924	\$ 982	\$ 1,010	\$ 1,040	\$ 1,068

Summary of Recommended Tuition and Fees – FY2019

Proposed Tuition & Fees

<u>Undergraduate</u>	<u>Resident</u>	<u>Non-Resident</u>
Proposed Tuition & Fees Total Increase	6.4%	6.4%
FY2019 Tuition & Fees	6.6%	6.6%
Tuition-15 Credit Hour	\$12,094	\$32,742
Mandatory Fees	<u>2,396</u>	<u>3,056</u>
FY2019 Tuition & Fees	<u>14,490</u>	<u>35,798</u>
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FY2018 Tuition & Fees	<u>13,624</u>	<u>33,656</u>
Proposed \$ Increase- Per Academic Year	\$866	\$2,142

Summary of Mandatory Fee Recommendations

- Fee increases of:

5%	\$112	Total Mandatory Undergraduate Fees
0%	\$660	Capital Outlay Fee – pending State budget
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1.9%	\$76	Dining
2.9%	\$12.50	Parking

Recommended Tuition & Fees, Room & Board – FY 2019

	RESIDENT		NON-RESIDENT	
	2017-18	2018-19	2017-18	2018-19
Tuition 15 Credit hours	\$11,340	\$12,094	\$30,712	\$32,742
University Fee	1,845	1,938	1,845	1,938
Technology Fee	83	83	83	83
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Health Service Fee	206	215	206	215
Student Activity Fee	90	90	90	90
Capital Outlay Fee (non-resident)	N/A	n/a	660	660
TOTAL: TUITION & MANDATORY FEES	\$13,624	\$14,490	\$33,656	\$35,798
Room	6,199	6,364	6,199	6,364
Board	3,988	4,064	3,988	4,064
TOTAL: TUITION & MANDATORY FEES & ROOM & BOARD	\$23,811	\$24,918	\$43,843	\$46,226

Tuition & Fees Recommendations for FY2019

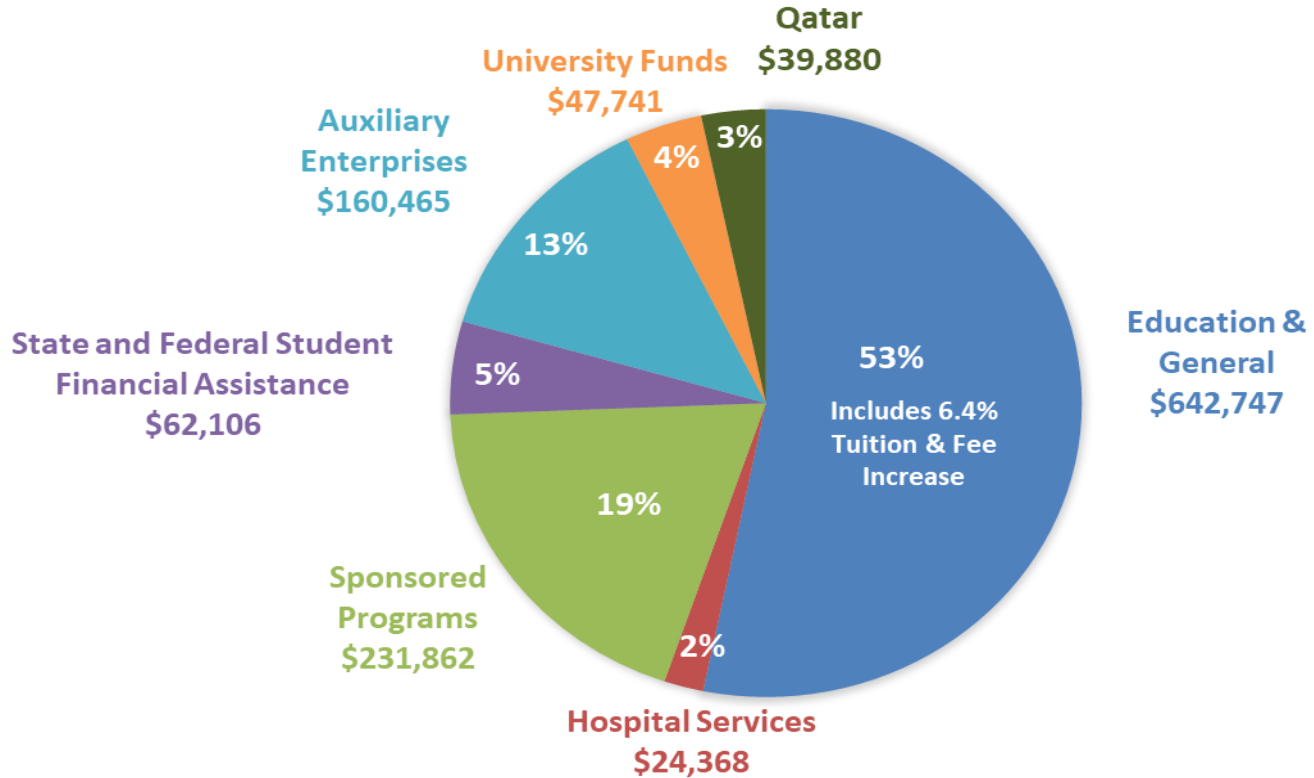
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3.6%	941	Resident Pharmacy
3.4%	1,291	Nonresident Pharmacy

All Funds FY2018-19 Budget

All Funds FY 2018-19 Budget (\$1.2 Billion)

(In Thousands)



Virginia Commonwealth University - 2018-2019 University Budget Plan
Sources Summary (in thousands)

FY 2018-2019 Sources	Educational & General Programs	Sponsored Programs			Auxiliary Enterprises	Qatar	University Funds	Student Financial Assistance	Hospital Services	Total University	Change from 2017-18 Budget Plan	
		Direct Costs	Facilities & Admin. Costs								Amount	Percent
State General Fund												
Direct Appropriations	\$ 170,040	\$ 14,013	\$ -	\$ -	\$ -	\$ -	\$ 30,063	\$ -	\$ 214,116	-	0.0%	
Central Transfers	3,997	-	-	-	-	-	-	-	\$ 3,997	-	0.0%	
State General Fund	\$ 174,037	\$ 14,013	\$ -	\$ -	\$ -	\$ -	\$ 30,063	\$ -	\$ 218,113	\$ -	0.0%	
Nongeneral Funds												
Student Tuition and Fees	448,192	-	-	56,721	-	-	-	-	504,913	28,062	5.9%	
Grants and Contracts	-	187,874	40,000	-	-	-	32,043	-	259,917	17,515	7.2%	
Gifts and Investment Earnings	100	-	-	5,630	-	42,598	-	-	48,328	4,282	9.7%	
Sales and Services	10,065	-	-	92,482	39,974	-	-	24,368	166,889	4,636	2.9%	
Other Sources	327	-	-	5,632	-	5,143	-	-	11,102	519	4.9%	
Total Nongeneral Funds	458,684	187,874	40,000	160,465	39,974	47,741	32,043	24,368	991,149	55,014	5.9%	
Transfers (in) out	10,025	-	(10,025)	-	-	-	-	-	-	-	n/a	
Total University Sources	\$ 642,746	\$ 201,887	\$ 29,975	\$ 160,465	\$ 39,974	\$ 47,741	\$ 62,106	\$ 24,368	\$ 1,209,262	\$ 55,014	4.8%	

Virginia Commonwealth University - 2018-2019 University Budget Plan
Expenditure Summary (in thousands)

	Educational & General Programs	Sponsored Programs			Qatar	University Funds	Student Financial Assistance	Hospital Services	Total University	Change from 2017-18 Budget Plan	
		Direct Costs	Facilities & Admin. Costs	Auxiliary Enterprises						Amount	Percent
FY 2018-2019 Uses											
Instruction	\$ 329,147	\$ -	\$ -	\$ -	\$ 39,974	\$ 4,755	\$ -	\$ -	\$ 373,876	\$ 3,921	1.1%
Research	12,805	201,887	21,188	-	-	10,564	-	-	246,444	34,601	16.3%
Public Service	4,938	-	-	-	-	1,912	-	-	6,850	(220)	-3.1%
Academic Support	100,207	-	578	-	-	10,720	-	-	111,505	1,666	1.5%
Student Services	15,873	-	-	-	-	646	-	-	16,519	(1,746)	-9.6%
Institutional Support	85,656	-	981	-	-	9,354	-	-	95,991	(1,467)	-1.5%
Operation and Maintenance of Plant	58,603	-	3,912	-	-	1,183	-	1,000	64,698	536	0.8%
Scholarships and Fellowships	2,765	-	1,716	-	-	8,607	93,382	-	106,470	9,294	9.6%
Auxiliary Enterprises	-	-	-	152,652	-	-	-	-	152,652	15,109	11.0%
Hospital Services	-	-	-	-	-	-	-	23,368	23,368	(2,559)	-9.9%
Subtotal Uses	609,994	201,887	28,375	152,652	39,974	47,741	93,382	24,368	1,198,373	59,135	5.2%
Transfers (in) out ⁽¹⁾	28,364	-	-	2,912	-	-	(31,276)	-	-	-	n/a
Addition to Reserves	-	-	-	865	-	-	-	-	865	(5,495)	545.7%
Contingencies	4,388	-	1,600	4,036	-	-	-	-	10,024	1,374	15.9%
Subtotal Contingencies and Transfers	32,752	-	1,600	7,813	-	-	(31,276)	-	10,024	1,374	15.9%
Total University Uses	\$ 642,746	\$ 201,887	\$ 29,975	\$ 160,465	\$ 39,974	\$ 47,741	\$ 62,106	\$ 24,368	\$ 1,209,262	\$ 55,014	4.8%

Questions

Supplemental Information

- Non-E&G funds:
 - a) Sponsored Program
 - b) Auxiliary Enterprises
 - c) University Funds
 - d) Student Financial Assistance
 - e) Hospital Services
- State funding history
- Reduction Summary

Sponsored Programs

Sponsored Programs

- Sponsored Programs revenue is projected to be \$242M in FY 2019.
- This includes the revenue for direct and indirect costs on federal, state, and private grants and contracts, as well as state general fund appropriations.
- The transfer from FACR funds to E&G has been updated as a part of the University Budget Redesign development across all funds
- State General Funds are assumed as flat to FY2018 levels pending budget resolution:
 - Cancer Research: \$12.5M
 - Bioengineering and Regenerative Medicine Research: \$1.2M
 - Parkinson's and Movement Disorders Center: \$.3M

Virginia Commonwealth University - 2018-2019 University Budget Plan
Sponsored Programs - Sources & Uses (in thousands)

	2017-18 Projected ⁽¹⁾	2018-19 Budget Plan	Change Over 2017-18
A. SOURCES			
1. Direct Costs			
Total Federal Grants and Contracts	91,982	92,902	1.0%
Total Other Grants and Contracts	108,044	108,985	0.9%
Total Sources Associated with Direct Costs	200,026	201,887	0.9%
2. Facilities and Administrative Cost Recoveries	40,000	40,000	0.0%
Total Sources	<u>\$ 240,026</u>	<u>\$ 241,887</u>	0.8%
B. USES			
1. Instruction	\$ 11,281	\$ 11,369	0.8%
2. Research	203,303	200,689	-1.3%
3. Public Service	480	484	0.8%
4. Academic Support	4,320	4,354	0.8%
6. Institutional Support	3,600	3,628	0.8%
7. Operation and Maintenance of Plant	6,001	6,047	0.8%
8. Scholarships and Fellowships	1,716	1,716	0.0%
9. Transfer Facilities and Administrative Cost Recoveries to E&G	8,221	12,000	46.0%
10. Contingencies	1,103	1,600	45.1%
Total Uses	<u>\$ 240,026</u>	<u>\$ 241,887</u>	0.8%

Auxiliary Enterprises

Auxiliary Enterprises

Significant changes in Auxiliary Enterprises include:

- Gladding Resident Center coming online
- 5% increase in University Fee to fund athletic scholarship and facility needs, needs in student services and student programs
- Overall increases in retail as well as dining and parking rates
- Funding for salary and fringe changes

Virginia Commonwealth University - 2018-2019 University Budget Plan
Auxiliary Enterprises - Sources (in thousands)

	2017-2018 Budget Plan	2018-2019 Budget Plan	Change Over 2017-2018
A. SOURCES			
1. Sales and Services ⁽¹⁾	\$ 34,206	\$ 34,886	2%
2. University Fee	47,097	51,615	10%
3. Room Plan	31,187	31,779	2%
4. Board Plan ⁽²⁾	19,331	25,817	34%
5. Health Fee	4,787	5,106	7%
6. Gifts and Interest Earnings	5,523	5,630	2%
7. Other - Use of Balances	6,035	5,632	-7%
Total Sources	<u>\$ 148,166</u>	<u>\$ 160,465</u>	8%

Virginia Commonwealth University - 2018-2019 University Budget Plan
Auxiliary Enterprises - Uses (in thousands)

	2017-2018 Budget Plan	2018-2019 Budget Plan	Change Over 2017-2018
B. USES			
1. Intercollegiate Athletics	\$ 26,243	\$ 26,973	3%
2. Siegel Center & Other Facilities	7,343	8,408	15%
3. Residential Services	34,443	35,912	4%
4. Dining Services	23,449	32,115	37%
5. Student Commons and Activities	5,031	5,254	4%
6. Recreational Sports	9,401	9,673	3%
7. Student Services			
a. Student Health	6,343	6,997	10%
b. Student Development Programs	6,213	7,312	18%
8. Retail Services and Other Shops	2,824	3,170	12%
9. Parking and Transportation	13,699	16,607	21%
10. University Services, Capital Reserves / Contingencies	5,776	4,267	-26%
11. Financial Aid Transfer	1,412	2,912	106%
Total Uses	<u>\$ 142,177</u>	<u>\$ 159,600</u>	12%
C. ADDITION TO RESERVES	<u>\$ 5,989</u>	<u>\$ 865</u>	-86%

University Funds

University Funds

- University Funds revenues are budgeted at \$47.7 million in FY2019.
- Revenues associated with investment income and spending rule/administrative fee distributions from the permanent and quasi endowment are budgeted to increase in FY2019 over the FY2018 plan of \$4.3 million.

Virginia Commonwealth University - 2018-2019 University Budget Plan
University Funds Sources & Uses (in thousands)

	2017-18 Projected Actuals	2018-19 Budget Plan	Change Over 2017-18
A. SOURCES			
1. Gifts	\$ 32,333	\$ 32,980	2.0%
2. Endowment and Investment Income, Foundation Support	9,618	9,618	0.0%
3. Other Transfers	5,042	5,143	2.0%
Total Sources	<u>\$ 46,993</u>	<u>\$ 47,741</u>	1.6%
B. USES			
1. Instruction	\$ 4,681	\$ 4,755	27.4%
2. Research	10,399	10,564	2.2%
3. Public Service	1,882	1,912	-3.3%
4. Academic Support	10,551	10,720	-6.2%
5. Student Services	636	646	18.5%
6. Institutional Support	9,208	9,354	1.8%
7. Operation and Maintenance of Plant	1,165	1,183	3.5%
8. Scholarships and Fellowships	8,472	8,607	1.5%
Total Uses	<u>\$ 46,993</u>	<u>\$ 47,741</u>	1.9%

Student Financial Assistance

Student Financial Assistance

- Student Financial Assistance funds are budgeted at \$140.7 million or \$9.5 million over FY2018 plan:
 - \$62.1 million in Federal and assumed State funded aid
 - \$78.6 million in aid funded by all university sources
- Growth in aid includes \$6.0 million to address undergraduate needs as well as funding for waivers and scholarship (\$2.8 million) and required growth in athletic scholarship funding (\$.7 million).

Virginia Commonwealth University - 2018-2019 University Budget Plan
Student Financial Assistance (in thousands)

DESCRIPTION	2017-18 Budget Plan	2018-19 Budget Plan	Change Over 2017-18
A. Federal			
1. Grants and Scholarships	\$ 30,288	\$ 30,513	0.7%
2. Federal Work Study	1,452	1,530	5.4%
Total Federal	<u>31,740</u>	<u>32,043</u>	1.0%
B. State: Virginia Student Financial Assistance Program			
1. Scholarships	26,638	26,638	0.0%
2. Fellowships	3,425	3,425	0.0%
Total State	<u>30,063</u>	<u>30,063</u>	0.0%
Total Federal and State	<u>61,803</u>	<u>62,106</u>	0.5%
C. University			
1. E&G Programs	51,934	58,444	12.5%
2. Facilities and Administrative Cost Recoveries	1,716	1,716	0.0%
3. Auxiliary Enterprise Programs			
Athletic Scholarships	6,076	6,740	10.9%
Student Financial Assistance	1,412	2,912	106.2%
4. University Funds	<u>8,180</u>	<u>8,745</u>	6.9%
Total University Sources	<u>69,318</u>	<u>78,557</u>	13.3%
D. Total Sources	<u>\$ 131,121</u>	<u>\$140,663</u>	7.3%

Hospital Services

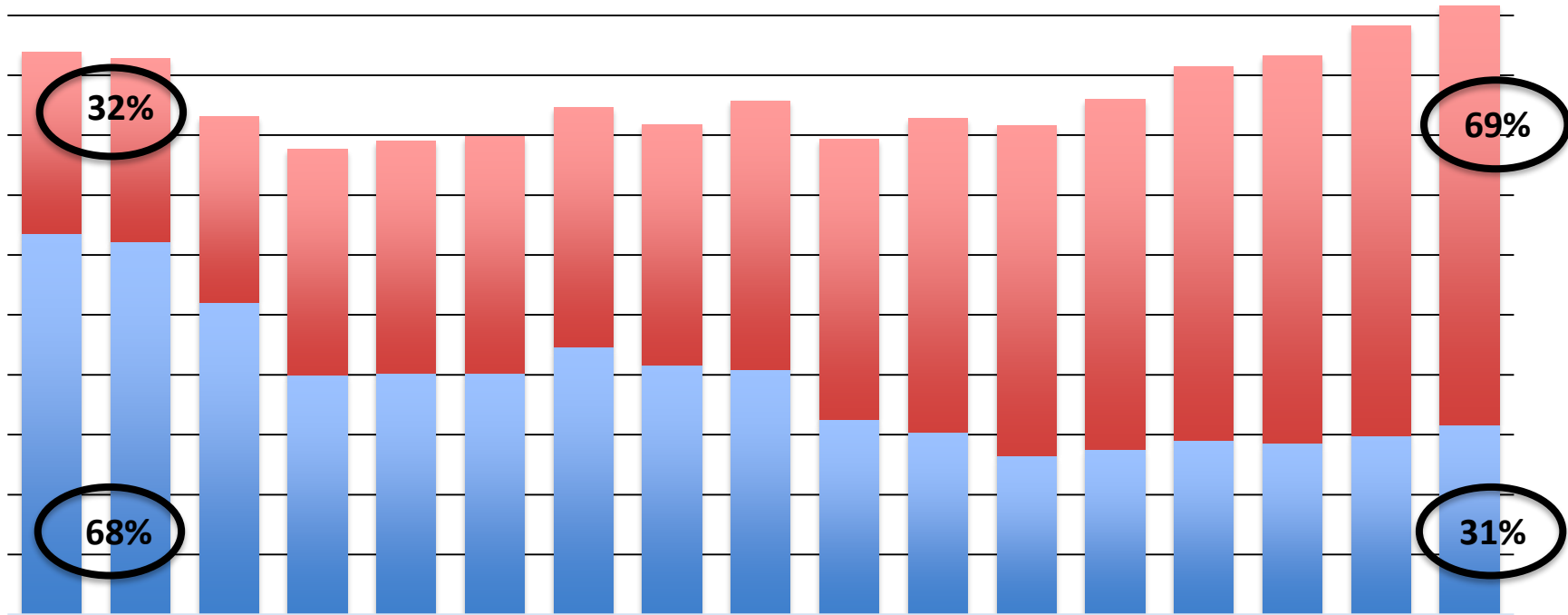
Hospital Services

- Hospital Services represents revenue for services provided by the University to the VCU Health System and related activities.
- Revenues for FY 2019 are budgeted at \$24.4 million, a decrease of \$1.6 million or 6.0% primarily related to the removal of the old Virginia Treatment Center for Children building from the master lease.
- 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 - 2018-2019 University Budget Plan
Hospital Services Sources & Uses (in thousands)

	2017-18 Budget Plan	2018-19 Budget Plan	Change Over 2017-18
A. SOURCES			
Nongeneral Funds			
1. Sales and Services	\$ 24,527	\$ 23,961	-2.3%
2. Other Sales and Services - Rental Income	1,400	407	-70.9%
Total Sources	<u><u>\$ 25,927</u></u>	<u><u>\$ 24,368</u></u>	-6.0%
B. USES			
1. Operation and Maintenance of Plant	\$ 1,000	\$ 1,000	0.0%
2. Hospital Services	24,927	23,368	-6.3%
Total Uses	<u><u>\$ 25,927</u></u>	<u><u>\$ 24,368</u></u>	-6.0%

50% Decline in State Funding



FY2001 FY2002 FY2003 FY2004 FY2005 FY2006 FY2007 FY2008 FY2009 FY2010 FY2011 FY2012 FY2013 FY2014 FY2015 FY2016 FY2017

■ State Funds Per FTE ■ Tuition & Fees Per FTE

(\$ Adjusted for inflation)

*VA State Budget

*Bureau of Labor Statistics Inflation

*SCHEV Enrollment Report

A record of making choices

Fiscal Year	One-Time State Reductions	Additional Permanent State Reductions	Additional Permanent University Reallocations	Total Budget Reductions & Reallocations
2015	\$5.4M		\$3.6M	\$9.0M
2016		\$4.3M	\$4.8M	\$9.1M
2017	\$2.7M		\$4.6M	\$7.3M
2018	<u>\$1.8M</u>	<u>\$5.9M</u>	<u>\$1.2M</u>	<u>\$8.9M</u>
Total	<u>\$9.9M</u>	<u>\$10.2M</u>	<u>\$14.2M</u>	<u>\$34.3M</u>

**VIRGINIA COMMONWEALTH UNIVERSITY
AMENDMENT TO THE 2018-2024 SIX-YEAR CAPITAL PLAN &
ARCHITECT/ENGINEER SELECTION
Rice Center Research Facility**

PROJECT: This is a request to amend the 2018-2024 Six-Year Capital Plan to include construction of a \$7,600,000 research facility at the Rice Center and for approval to award of the design contract for the facility.

BACKGROUND: This project was initially approved in the second biennium of the 2014-2020 Six-Year Capital Plan as a \$6,300,000 privately-funded building. In January 2018, a feasibility study was completed which indicated the need to increase the project budget. The Rice Rivers Center has raised \$6,600,000 through a combination of private gifts and Life Sciences fund balances and plans to use \$1,000,000 from a University internal loan to fund design and construction. The University internal loan will be paid back through a combination of revenues generated through space rentals for events, annual development fund distributions, cost recoveries related to research, and income from courses held at the Center.

This building is a single story building that will provide space for VCU faculty and staff focused primarily on river and wetland research and to accommodate the programmatic needs of the Center for Conservation Biology (CCB). The CCB is a community of dedicated scientists, students and citizens who focus on lasting solutions to environmental problems. This organization is a collaboration between VCU and the College of William & Mary.

Total Budget\$7,600,000

SOURCE OF FUNDS:

Private Gifts (\$4.0M received, \$1.5M pledges).....	\$5,500,000
Life Sciences Fund Balances	\$1,100,000
University Internal Loan.....	\$1,000,000

OPERATING COST: Annual Operating costs are estimated at \$233,000 annually and will be paid using E&G Resources, space rentals for events, and annual development fund distributions .

JUSTIFICATION: Via Design Architects was selected because of their demonstrated experience in marine research laboratory buildings and familiarity with the feasibility study for this project.

RECOMMENDATION: Approve amendment to the 2018-2024 Six-Year Capital Plan to include construction of a \$7,600,000 and selection of VIA Design Architects, Norfolk, Virginia as the project Architect/Engineer.

VIRGINIA COMMONWEALTH UNIVERSITY
AMENDMENT TO THE 2016-2022 SIX-YEAR CAPITAL PLAN
STEM Class Laboratory Building
Johnson Hall/Shafer Court Dining Facility Chilled Water Plant

PROJECT: This is a request to amend the University’s 2016-2022 Six-Year Plan to increase the scope of work for the Humanities & Sciences/Science Technology Engineering and Math (STEM) Class Laboratory Building project to add the construction of a replacement chilled water plant to support Johnson Hall and Shafer Court Dining Facility. The chilled water plant is estimated to cost \$3,000,000 and will be supported with auxiliary enterprise funds. This would increase the estimated cost of the overall STEM Class Laboratory Building project from \$76,000,000 to \$79,000,000.

LOCATION: The site adjacent to the alley due south of Johnson Hall, Monroe Park Campus, Richmond, Virginia.

BACKGROUND: The Franklin Street Gym will be demolished as a site for the Humanities & Sciences, Science Technology Engineering and Math (STEM) building. The Franklin Street Gym, Johnson Hall and Shafer Court Dining Facility are served by a single chilled water plant which will be demolished. Therefore, a replacement plant must be constructed to serve the remaining two buildings; Johnson Hall and Shafer Court Dining Facility. A new chiller will be constructed inside the new building to serve the new Humanities & Sciences/STEM building.

SOURCE OF FUNDS:

General Funds	\$76,000,000
University Funds	\$ 3,000,000

OPERATING COST: The annual operating costs will be reduced due to the greater efficiencies resulting from new replacement chilled water plant.

JUSTIFICATION: The need for this project was identified in the Preplanning Study completed in December 2015. The State was approached to fund the entire chiller replacement but they declined, stating that they would not fund equipment that services auxiliary facilities. A capital amendment is needed to pursue the chilled water plant as part of the STEM capital project. The cost will be borne by the units served; Student Affairs and Business Services. Including this project as part of the larger project will result in lower costs and faster installation.

RECOMMENDATION: Approve amendment of the University’s Six-Year Capital Plan to increase the scope of the Humanities & Sciences/Science Technology Engineering and Math (STEM) building to include a chiller plant to serve Johnson Hall and Shafer Court Dining Facility.

VIRGINIA COMMONWEALTH UNIVERSITY
PROJECT PLANS
Trani Life Sciences Roof Repair and HVAC Replacement

PROJECT: This project will replace the rooftop mechanical systems and the roof membrane system on the Eugene P. and Lois E. Trani Center for Life Sciences. The Department of Biology, the Center for Environmental Studies and the Office of the Vice Provost for Life Sciences reside in this building.

LOCATION: 1000 W. Cary Street, Richmond, Virginia

PROJECT COSTS: Total Budget \$6,000,000

OPERATING COSTS: Additional annual operating costs are not expected to occur, although significant maintenance resources will be relieved.

FUND SOURCES: General Funds if available or alternatively using University Funds.

<u>TIMETABLE:</u>	Complete Planning	July 2018
	Construction Starts	August 2018
	Construction Complete	June 2019

PROJECT DESIGN: The project consists of replacement of rooftop units 1, 2, 3, 4, 7, & 8 with modern units placed on dunnage steel supports. In addition, the revitalization of the energy recovery and building humidification systems are included. Once installation of new mechanical equipment is complete, the entire structure's roof membrane system will be replaced to ensure weather tightness. All work shall occur with the facility fully occupied with minimal disruption.

RECOMMENDATION: Approve project plans for the Trani Life Sciences Roof Repair and HVAC Replacement.

VIRGINIA COMMONWEALTH UNIVERSITY
Amendment to the 2016-2022 Six-Year Capital Plan
Siegel Center Chiller Replacement

PROJECT: Replacement of the chilled water system for the Stuart C. Siegel Center.

LOCATION: 1200 West Broad Street, Richmond, Virginia

BACKGROUND: In October 2017, the Board approved a capital amendment to provide a packaged chilled water replacement plant for the Stuart C. Siegel Center with a project cost not to exceed \$3,500,000.

The project was designed and advertised for bids in March 2018. The bids exceeded the budget. The project scope was reduced and re-advertised for bids in April 2018. The second bid still exceeded the approved budget. The cost increase is a direct result of increased construction activity in the Richmond area coupled with a shortage of skilled labor.

This request is to authorize a project budget increase to \$4,000,000 to allow the project to proceed. The plan is for construction to begin immediately after graduation season in 2018.

OPERATING COST: The annual operating costs are estimated at \$182,380.

SOURCE OF FUNDS: Athletics Auxiliary Funds.....\$4,000,000

JUSTIFICATION: The purpose of the project is to provide a reliable cooling system for the heavily scheduled Stuart C. Siegel Center.

RECOMMENDATION: Approve amendment of the University's Six-Year Capital Plan to increase the project budget to allow for the construction of the replacement chiller system.

**Virginia Commonwealth University
Proposed Program Brief**

**Proposal to Establish
Graduate Certificate in Special Education K-12 Teaching**

Overview

This proposal seeks to approve a 27-credit hour graduate certificate program in Special Education K-12 Teaching. The purpose of this certificate program is to prepare provisionally licensed special education teachers to become fully licensed special education-general curriculum teachers who work with children in the K-12 classroom, where students with high-incidence disabilities are served. This certificate program is developed in response to the continued need for fully licensed special education teachers. The 27-credit hour program is aligned with the Virginia Department of Education’s requirements of individuals seeking state licensure.

Method of Delivery

All courses are delivered in an online format.

Target Implementation Date

Fall 2018

Demand and Workforce Development

According to the Occupational Employment Statistics, the projected increase nationally for special education teachers is 8% between 2016 and 2026.¹ In 2017, the Virginia Department of Education (VDOE) issued a brief reporting that teachers of students with disabilities are the greatest shortage area. In fact, special education teacher shortages were noted by VDOE beginning in 1995 and continued through 2017.

External Competition

Because coursework will be fully online, an advantage of this graduate certificate will be that it allows students to have access to coursework and curriculum at any day and time while they are enrolled in the program. Since these provisionally licensed teachers are working full-time in a classroom while concurrently completing coursework for licensure, online coursework is fully desirable. As a fully online licensure option in the special education-general curriculum, this program will be one of only two known existing programs in the state of Virginia (i.e., Old Dominion University) – in the type of licensure that is issued and program delivery format.

Target Population

The target audience for this graduate certificate is conditional and provisionally licensed special educators in Virginia schools.

Impact on Existing Programs/Policies

No existing program or policies will be impacted by the certificate program.

Impact on Faculty

¹ <https://www.bls.gov/ooh/education-training-and-library/special-education-teachers.htm> Accessed on February 17, 2018

Faculty appointments in the graduate certificate program are established by the chair of the Department of Counseling and Special Education. Faculty teaching in the certificate program will be existing faculty and adjunct from the VCU special education-general education program. Since all of these classes are already offered in the department, no additional faculty resources are requested. At the current time, no new positions are needed to initiate and sustain this graduate certificate program.

Funding

Due to shortages of special education teachers across the state, VDOE offers financial support to programs offering alternative licensure options to provisionally licensed special education teachers. The Department of Counseling and Special Education will continue to apply for tuition support through the VDOE for students pursuing a special education-general curriculum license. The program has been successful with securing funds from VDOE since 2002. Funding for adjuncts is driven by student enrollment and will be reallocated to the program based on the School of Education's budget model. The program will be sufficiently secured based on enrollment trends.

Benefit to the University

VCU has established partnerships with school divisions across the state of Virginia interested in having their special educators licensed in our accredited program. This certificate will continue that strong partnership with our local school divisions, and provide outreach for school divisions across the state.

Next Steps

After approvals granted at the department and school levels, the proposal undergoes university level reviews, including:

<u>Approving Body</u>	<u>Date</u>	<u>Action</u>
• University Graduate Programs and Courses Committee	1/23	Approved
• University Graduate Committee	2/13	Approved
• University Council Academic Affairs and University Policies	3/29	Approved
• University Council	4/5	Approved
• President's Cabinet	4/23	Approved
• Board of Visitors	5/11	

Full Proposal

- See attached.

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**Virginia Commonwealth University
Graduate Certificate**

Name of Certificate: Special Education K-12 Teaching

CIP Code: 13.1001

Initiation Date: Fall 2018

Description of the Proposed Program

The purpose of this certificate program is to prepare students to become fully licensed special education teachers who work with children with learning disabilities, emotional disturbance, and mild to moderate intellectual disability. Students will be prepared to teach reading and language, behavior management, and social skills. Additionally, students will be prepared to recognize a child's educational and social problems, to formulate effective individualized instruction, and to consult with parents, teachers, and administrators to incorporate accommodations and transitions into the child's educational program.

Target Audience

The target audience for this graduate certificate is conditional and provisionally licensed special educators in Virginia schools.

Time to Complete

This program is designed so that participants can complete requirements within 18 months or five semesters. All students are part-time in the program and cannot take more than eight credits per semester. Students will have up to five calendar years to complete all coursework for the program.

Appendix A: Plan of Study

Admission Criteria

All students applying for the Special Education K-12 Teaching certificate must:

- Complete the on-line application for VCU Graduate Admissions.
- Be employed by a Virginia public or nonpublic school as a special educator in special education-general curriculum K-12, and have the recommendation of the employing educational agency.
- Hold a baccalaureate degree from a regionally accredited institution.
- Present a statement of purpose delineating career goals.
- Present a resume stating relevant work experience.
- Interview with the Special Education K-12 Teaching program director or program coordinator.

No additional admission requirements will be necessary. Participants may transfer no more than 6 credit hours into the program.

Curriculum Requirements

The program is 27 credit hours of course work (e.g., 7 three-credit hour courses, 2 two-credit hour courses, and 2 one-credit hour supervision seminars). Candidates for the certificate will be required to complete a minimum of 27 credit hours beyond the bachelor’s level, including the courses listed below.

Program Requirements

Students are required to take each of the following courses.

Total Number of Credit Hours: 27 graduate credits

- SEDP 601: Methods I: Teaching Students in Special Education (3 credits)
- SEDP 602: Methods II: Teaching Students in Special Education (2 credits)
- SEDP 631: Classroom Management and Behavior Support of Students with Disabilities (3 credits)
- SEDP 531: Educational Foundations for Collaboration and Universally Designed Learning (3 credits)
- SEDP 533: Educational Assessment of Individuals with Learning Needs (3 credits)
- TEDU 561: Reading Foundations (3 credits)
- SEDP 603: Theories, Assessment, and Practices in Reading for Students with High Incidence Disabilities (3 credits) or
- SEDP 501: Characteristics of Students with High Incidence Disabilities (3 credits)
- SEDP 611: Secondary Education and Transition Planning (2 credits)
- SEDP 502: Supervision Seminar I (1 credit)
- SEDP 503: Supervision Seminar II (1 credit)

Students complete 1 year of supervised teaching. Supervision is provided by the hiring school division.

The table below shows the alignment of Virginia Commonwealth University’s graduate certificate courses with the Virginia Department of Education’s (VDOE) licensure requirements for Special Education-General Curriculum K-12 programs.

VDOE Licensure Competencies	Courses
Professional Studies Requirements for Special Education Endorsements	
Curriculum and Instructional Procedures	SEDP 601: Methods I: Teaching Students in Special Education – General Education and (3 credits) SEDP 602: Methods II: Teaching Students in Special Education – General Education (2 credits)
Classroom and Behavior Management	SEDP 631: Classroom Management and Behavior Support of Students with Disabilities (3 credits)

Foundations of Education	SEDP 531: Educational Foundations for Collaboration and Universally Designed Learning (3 credits) SEDP 533: Educational Assessment of Individuals with Learning Needs (3 credits)
Reading and Language Acquisition	TEDU 561: Reading Foundations (3 credits) SEDP 603: Theories, Assessment, and Practices in Reading for Students with High Incidence Disabilities (3 credits) or
General Curriculum Coursework	
Characteristics	SEDP 501 Characteristics of Students with High Incidence Disabilities (3 credits)
Transitioning	SEDP 611: Secondary Education and Transition Planning (2 credits)
Supervised Teaching: Students with Disabilities and the General Curriculum K-12.	SEDP 502: Supervision Seminar I (1 credit) SEDP 503: Supervision Seminar II (1 credit)

In addition to coursework, participants must also complete additional assessments that the Virginia Department of Education requires for special education teacher licensure.

- Virginia Communication & Literacy Assessment (VCLA)
- Reading Virginia Educators (RVE)
- Certification/Training in Emergency First Aid, CPR, and AEDS
- Child Abuse Recognition and Intervention Training
- Dyslexia Awareness Training Module

Appendix B: Certificate Program Requirements

Appendix C: Student Learning Outcomes

Faculty

Faculty appointments in the graduate certificate program are established by the chair of the Department of Counseling and Special Education. Faculty teaching in the certificate program will be existing faculty and adjunct from the VCU special education-general education program.

Minimum requirements for faculty teaching this certificate program include:

- A MEd, MaED, PhD, or EdD in a related education and special education field;
- Three years of K-12 or higher education teaching experience; and
- One year of online teaching experience.

Three faculty members will teach six of the courses in the certificate program; three adjunct faculty members will teach five courses in the certificate program.

Course Delivery Format

This program will be delivered on-line using VCU's Blackboard platform. The university provides 24/7 technical assistance to students and faculty. The School of Education has inside technical support for faculty and students. All faculty complete instructional training, course design, and course delivery training through the university. The university has sufficient resources to deliver the certificate program.

Resources

Resources required to support the certificate program include existing resources to support current programs such as student support services (e.g., enrollment, help desk, library, etc.): faculty support services (e.g., copying, contracts, etc.); and general administration (e.g., budgeting and forecasting, etc.) Specific program administration is required regarding licensure applications, and all state required testing for licensure. VCU already has these support services in place.

The university has adequate resources to offer and sustain this certificate program.

Gainful Employment

This certificate program leads to gainful employment in a recognized occupation. VCU has processes in place to meet DOE reporting requirements regarding Gainful Employment.

Course Descriptions

No courses are new.

SEDP 501 Characteristics of Students with High Incidence Disabilities (3 credits)

Semester course, delivered online, face-to-face or hybrid. Focuses on characteristics and identification of individuals with learning disabilities, emotional disturbance, intellectual disabilities, developmental delay, the less severe autism spectrum disorders, traumatic brain injury and other health impairments throughout the lifespan, as well as providing information on effective educational, psychosocial and behavioral interventions that serve as adaptations to the general curriculum. The possibilities of co-morbid or multiple conditions, coupled with cross-categorical instructional settings warrant a class that examines all eligibility categories of students served under the special education, general curriculum.

SEDP 631 Classroom Management and Behavior Support (3 credits)

Semester course, delivered online, face-to-face or hybrid. Provides an in-depth analysis of theoretical models, research and strategies for supporting positive behavior of students with various disabilities. Emphasis is on developing, implementing and evaluating behavior management programs in special education programs including functional assessment of behavior. This course will help develop a candidate's ideas about examining the behaviors of students with special needs in school settings, including an understanding and application of

classroom and behavior management techniques and individual interventions. Techniques and approaches taught will promote skills that are consistent with norms, standards and rules of the educational environment and will be diverse based upon behavioral cognitive, affective, social and ecological theory and practice. As part of the course requirements, candidates complete approved modules in child abuse and neglect recognition and intervention.

SEDP 531 Educational Foundations for Collaboration and UDL (3 credits)

Semester course, delivered online, face-to-face or hybrid. Focuses on providing candidates with the knowledge of the foundation for educating students with disabilities, as well as the principles and processes for collaboration and consultation with educational colleagues, community professionals and families. Covers the historical, philosophical and sociological foundations underlying the role, development and organization of public education in the U.S. Discussions and readings will focus on creating and maintaining inclusive schools, effective communication strategies for building successful collaborative teams and universally designed instructional strategies to use in co-taught classrooms.

TEDU 561 Reading Foundations (3 credits)

Semester course; delivered online. The purpose of this course is to provide a basic understanding of the theories, processes, and methodologies of reading instruction. Multidisciplinary, multicultural aspects of reading instruction are stressed. Topics of particular importance to the classroom teacher are emphasized.

SEDP 533 Educational Assessment of Individuals with Learning Needs (3 credits)

Semester course, delivered online, face-to-face or hybrid. Focuses on current assessment theory, procedures and instruments used to evaluate students with high incidence disabilities in grades K through 12. The examination of both formal and informal assessment and their application in an educational setting and the designing of IEPs will be emphasized. Course will include the historical, philosophical and sociological foundations of the instructional design based on assessment data (relationships among assessment, instruction and monitoring student progress to include student performance measures in grading practices, the ability to construct and interpret valid assessments using a variety of formats in order to measure student attainment of essential skills in a standards-based environment, and the ability to analyze assessment data to make decisions about how to improve instruction and student performance).

SEDP 601 Methods I: Teaching Students in Special Education - General Education (3 credits)

Semester course, delivered online, face-to-face or hybrid.. Provides an introduction to instructional strategies and organization of activities, including curriculum, media, materials and physical environment for children in grades K-12 with high incidence disabilities. Candidates

will develop skills to plan and deliver instruction in a variety of educational settings such as inclusive classrooms, resource rooms, self-contained classes and residential programs.

SEDP 602 Methods II Teaching Students in Special Education - General Education (2 credits)

Semester course, delivered online, face-to-face or hybrid. Prerequisites: SEDP 601. Provides a study of instructional strategies and organization of activities with focus on elementary and secondary students with high incidence disabilities (in grades K-12) including curriculum, media, materials and physical environment. Candidates will use the foundation from Methods I as a context for developing skills necessary to provide the most effective classroom instruction for secondary students. A continued focus will be on assessing and monitoring student performance, adapting instructional interventions based upon students' response to intervention, and selecting evidence-based practices that have the greatest likelihood of success.

SEDP 611 Secondary Education and Transition Planning (2 credits)

Semester course, delivered online, face-to-face or hybrid. Explores the literature, research, issues and trends that are relevant to high school-aged students with high incidence disabilities as they prepare for their transition to life after high school. Focus is on providing candidates with the ability to prepare their students and work with their families to promote successful student transitions throughout the educational experience including postsecondary training, employment and independent living that addresses an understanding of long-term planning, career development, life skills, community experiences and resources, self-advocacy and self-determination, guardianship, and legal considerations. The full range of functioning is addressed in the areas of education, employment, social/emotional functioning, personal and daily living issues.

SEDP 603 Theories, Assessment, and Practices in Reading for Students with High Incidence Disabilities (3 credits)

Semester course; 3 lecture hours. 3 credits. Delivered as online, face-to-face or hybrid course. Prerequisite: TEDU 561. Designed to prepare special education teachers to instruct students with high incidence disabilities who exhibit reading deficits. Strategies, techniques and methods will be analyzed for their appropriate use with different types of reading/language problems. The course includes assessment practices and use of instruments that form the basis for instructional planning.

SEDP 502 Supervision Seminar I (1 credit)

Semester course, delivered online or face-to-face. This course emphasizes effective techniques to use when working with special education and general education teachers, instructional assistants, parent and students with disabilities. Participants will examine the different roles of the special

educator. Class members are encouraged to introduce topics for discussion based on their teaching experiences. Problem-solving strategies will be developed to address the issues raised during class. The course will provide the special educator with an understanding of the Individualized Education Program process from fostering consensus to developing the IEP. Emphasis will be placed on understanding the impact of the student's disability in accessing the general curriculum. Developing a data-driven IEP based on standards will also be emphasized.

SEDP 503 Supervision Seminar II (1 credit)

Semester course; delivered online or face-to-face. This course emphasizes effective techniques to use when working with special education and general education teachers, instructional assistants, parent and students with disabilities. Participants will examine the different roles of the special educator. Class members are encouraged to introduce topics for discussion based on their teaching experiences. Problem-solving strategies will be developed to address the issues raised during class. The course will provide the special educator with an understanding of how to implement mandates in the classroom as related to the state assessment program. Participants will learn why there is an emphasis on the development of standards-based IEPs and how they are integrated in daily classroom instruction. Participants will also learn about the different SOL participation options and how to use criteria to determine the appropriate option.

Appendices

Appendix A: Plan of Study

Year	Summer Semester	Fall Semester	Spring Semester
YR 1	SEDP 501 Characteristics of Students with Disabilities (3)	TEDU 561 Reading Foundations (3)	SEDP 603 Theories, Assessment and Practices in Reading (3)
	SEDP 531 Educational Foundations for Collaboration and UDL (3)	SEDP 601 Methods I (3)	SEDP 602 Methods II (2)
YR 2	SEDP 611 Secondary Education and Transition (2)	SEDP 631 Classroom Management and Behavior Support (3)	
	SEDP 533 Educational Assessment (3)	SEDP 503 Supervision Seminar II (1)	
	SEDP 502 Supervision Seminar I (1)		

TOTAL CREDIT HOURS 27

* All COVE students are considered part-time and cannot take more than 8 credit hours per semester.

**New cohorts begin each spring, summer, and fall semester. If students do not want to take summer classes, their plan of study will be updated to accommodate the change.

Appendix B: Curriculum Requirements

Program Requirements:

Core Courses – 25 credit hours

SEDP 501 Characteristics of Students with Disabilities (3 credits)

SEDP 531 Educational Foundations for Collaboration and UDL (3 credits)

TEDU 561 Reading Foundations (3 credits)

SEDP 601 Methods I: Teaching Students in Special Education - General Education (3 credits)

SEDP 603 Theories, Assessment and Practices in Reading (3 credits)

SEDP 602 Methods II: Teaching Students in Special Education - General Education (2 credits)

SEDP 611 Secondary Education and Transition (2 credits)

SEDP 533 Educational Assessment (3 credits)

SEDP 631 Classroom Management and Behavior Support (3 credits)

Supervision Courses – 2 credit hours

SEDP 502 Supervision Seminar I (1 credit)

SEDP 503 Supervision Seminar II (1 credit)

Appendix C: Student Learning Outcomes

Learning Outcomes for Special Education K-12 Teaching Graduates

Upon program completion, graduates will demonstrate the following knowledge and skills:

1. Apply evidence-based practices, professional knowledge and skills, in inclusive classrooms with students with high-incidence disabilities
2. Design individualized assessments, unit and lesson plans, and make data-based decisions that will support the development of students with high-incidence disabilities
3. Integrate reading and language, behavior management, and the use of interactive strategies that teach social skills to students with high-incidence disabilities.
4. Report and use formal and informal assessments techniques to deliver opportunities for students to transition into schools, programs, and communities.

**Virginia Commonwealth University
Board of Visitors
Academic and Health Affairs Committee
May 11, 2018**

Proposed Program Brief

Proposal to create a Ph.D. in Special Education and Disability Policy

Overview

VCU's School of Education is seeking to spin-off the Special Education and Disability Policy concentration in the existing PhD in Education program into a stand-alone degree program. The spin-off program will ensure that graduates are qualified as beginning researchers hired into tenure-track positions at universities across the country. In addition, it assures that graduates are better prepared for faculty positions at major research universities by strengthening their preparation to conduct high quality research and disseminate their findings through manuscripts submitted to peer-reviewed journals in the field. In addition, through a series of internship experiences, students in this spin-off program will participate in structured experiences working with faculty in the department and/or program partners to develop their skills in research, teaching and professional service/policy in the field. These internship experiences replace the co-curricular activities required of students in the PhD in Education program, ensuring greater consistency in the number and types of experiences for students in the spin-off program.

This proposal to spin-off a PhD program in Special Education and Disability Policy does retain the essential character, integrity and objectives of the original program. The CIP code of the original program was 13.1001 (Education, General), and the spin-off program has a proposed CIP code of CIP 13.0101 (Special Education, General. As required by SCHEV guidelines for spin-off programs, the proposed program retains the first two digits of the CIP Code and requires no additional resources.

Method of Delivery

This program will be delivered by the traditional face-to-face method.

Target Implementation Date

Fall 2019

Target Population

Successful applicants have a master's degree in special education or a related field, with experience working with infants, children, youth, or adults with disabilities as special education teachers, administrators, policy analysts, community nonprofit staff, vocational rehabilitation counselors, and/or therapeutic support personnel (i.e. speech-language pathologists, school psychologists, occupational therapists, etc.). For those without an extensive background in the field, additional coursework may be recommended to provide a foundational knowledge of special education and disability policy. This program is designed for those who wish to be university faculty who prepare the next generation of of prepare the next generation of faculty members in the field of special education and disability policy, with knowledge and skills in research, teaching, and policy advocacy.

Demand

The need for doctoral level special education leadership personnel prepared to assume faculty positions preparing special educators and early intervention personnel has been fully documented and shows no signs of abating (Robb, Smith, & Montrosse, 2012). While the number of special education doctoral granting programs have increased over the past decade,, Robb, et al. (2012) document that the acute shortage of special education faculty remains and is expected to increase sharply over the next several years due to (1) the continued need to maintain capacity within special education teacher training programs, and (2) retirements and attrition among current faculty members in special education departments across the nation.

National employment predictions for 2016-2026 are for a 10 percent increase in the need for postsecondary education teachers. Virginia data also makes a strong case for the need for faculty at state universities and for the need to prepare the next generation of special educators to meet the needs of children and youth with disabilities from birth through 21. According to the Virginia Employment Commission¹, job opportunities for teachers in post-secondary education are projected to increase 14.85% from 2014 to 2024. Although these projections do not specifically address individual disciplines, statewide shortages of special education teachers and continued emphasis on special education statewide suggest that faculty in special education will be in high demand. Special Education is ranked as the number one shortage in the state (Virginia Department of Education, 2018), which mirrored the data from over the past ten years.

Impact on Existing Programs/Policies

The goal is that this spin-off program is to replace the existing doctoral track in Special Education and Disability Policy of the PhD in Education program after a period of transition. Once all existing doctoral students in the program either transfer into the new program, or graduate from the existing program track, this track will be closed. We propose to close admission to the track, effective the fall semester after final approval of this spin-off program. No other similar degree programs exist in the School of Education, or at Virginia Commonwealth University.

Impact on Faculty

Existing faculty will be involved with the implementation of the Ph.D. program, including advising students and serving on advisory committees. No new hires are required to initiate this new degree program.

Duplication

There are no other doctoral programs in special education at public institutions in the Commonwealth of Virginia.

Funding

Since the proposed program is a spin-off program, and was offered as a track under the PhD in Education program, there is no need for additional resources until 2022. There will be some need to redirect current resources in 2022, and the goal is for the department to secure external funding to support doctoral students, and additional program improvements.

Next Steps

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

Additional Resources

~~The full proposal can be found here~~

The full proposal can be found in the Academic and Health Affairs Committee book.

¹ <http://www.vec.virginia.gov/> Search Path - 1. Occupational Data 2. Data Trends 3. Employment and Wage Data 4. Occupation Data 5. Occupation and Employment Projections (Long Term) 6. Education, Training and Library 7. Education, Post secondary



EXECUTIVE SUMMARY OF PROPOSED POLICY: Student Code of Conduct

New Policy or Substantive Revision

Policy Type: [Board of Visitors]

Responsible Office: [Division of Student Affairs/Office of Student Conduct and Academic Integrity]

Draft Date: 1/23/2018

Initial Policy Approved: 05/10/2013

Revision History: [07/23/2014 – New Policy Student Code of Conduct; 04/03/2015 – Student Code of Conduct, Minor SCHEV requirement revision added; 01/26/2017 – Student Code of Conduct, minor revision to reflect current policy names and updated hyper-links]

Governance Process Tracking:

Integrity & Compliance Office Review: 11/02/2017

University Counsel Review: 12/19/2017

Public Comment Posting: 01/25/2018

University Council Academic Affairs and University Policy Committee Review: 03/29/2018

University Council Review: 04/05/2018

President’s Cabinet Approval: 04/23/2018

Board of Visitors Approval (if applicable): MM/DD/YYYY

<p>1. Why is this policy being created <input type="checkbox"/> <u>or</u> revised <input checked="" type="checkbox"/>?</p>	<p>The policy is being revised due to the requirement that all university policies undergo review every three years.</p>
<p>2. <u>New policy</u> <input type="checkbox"/>: What are the general points or requirements covered in this policy? <u>or</u> <u>Revised policy</u> <input checked="" type="checkbox"/>: What are the substantive differences between this draft and the current policy?</p>	<ol style="list-style-type: none"> 1. Policy Statement includes language with regard to being responsible and that students should not remain passively in the presence of violations. Encouragement to report suspected violations. 2. Pg. 3. Under the Policy definition, the Alcohol and Other Drug Policy is listed.

	<ol style="list-style-type: none"> 3. Pg. 3. Under the Policy definition, the Faculty Guide to Student Conduct in instruction settings is listed. 4. Pg. 3. Under the definitions section, a definition for Respondent has been added. 5. Pg. 3. Preponderance of evidence section was modified to further explain that the standard means “that the evidence supports a conclusion that it is more likely than not that a violation was committed. 6. Pg. 3. Definition of staff modified to include part time employees and that a student can also be a staff member. 7. Pg. 3. Definition of Student has changed to explain that the code applies to all student conduct and not just for conduct at all university locations. 8. Pg. 4 Definition of University Property now includes VCU transportation vehicles. 9. Pg. 5. Prohibited conduct definition regarding assault now has the term “reasonably” preceding the term “fear.” This change allows an investigator to consider if a person reasonably feared their safety due to a student’s behavior or actions. 10. Pg. 5. Prohibited conduct definition regarding battery now has the term “unjustified” preceding the terms “use of physical force.” This was added due to the possibility of a student having to use force in instances of self-defense. 11. Pg. 5. Prohibited conduct definition regarding harassment now includes the terms repeated, persistent or pervasive regarding unwanted or unwanted contact. Removed the term stalking from harassment and created a separate definition for stalking on pg. 6. This change was consistent with other university policies and avoids any confusion regarding the two behaviors. 12. Pg. 5/6. Removed Riotous behavior definition. Such behaviors are addressed in the disorderly conduct and endangering health or safety definitions. Other public institutions in Virginia such as ODU, GMU, JMU, and
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	<p>Virginia Tech do not have Riotous Behavior definitions in their Student Codes or Student Rights and Responsibilities.</p> <p>13. Pg. 6. Prohibited conduct definition regarding recording and/or disseminating images now includes audio recording. Audio recording was not in the prior iteration of the definition. This change is also consistent with policies at other institutions.</p> <p>14. Pg. 7. Prohibited conduct definition regarding paraphernalia possession now prohibits possession on all university property.</p> <p>15. Pg. 9. Prohibited conduct definition regarding retaliation now includes language referencing threats of harassment.</p> <p>16. Pg. 9. Prohibited conduct definition regarding Violation of any federal, state, or local law now includes a substantive definition. Language is similar to the language used in policies maintained by other universities.</p> <p>17. Pg. 13. Removal of interim suspension language from the document. Interim suspensions are now managed by the Office of the Dean of Students. A Link is provided in the new version of the Code.</p> <p>18. Pg. 16. Language regarding notification of respondent sanctions to complainants when the violation is considered a crime of violence.</p> <p>19. Pg. 17. Language regarding the interpretation and revision of the Student Code of Conduct specifies that interpretation and revision of the Student Code of Conduct falls under the direction of the director of student conduct and academic integrity.</p> <p>20. Pg. 18. Language within the FAQ section regarding the maintenance of student conduct records demonstrates that records will be maintained in a database that is utilized by the Office of Student Conduct and Academic Integrity and is maintained by the Division of Student Affairs.</p>
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<p>3. Which stakeholder offices or personnel have provided input into this policy draft?</p>	<p>Office of Student Conduct and Academic Integrity, Office of the Senior Vice Provost for Student Affairs and designee. Residential Life.</p>
<p>4. Which other universities' policies or resources (e.g., laws, regulations, etc.) did you consider when preparing this draft?</p>	<ol style="list-style-type: none"> 1. Louisiana State University Code of Student Conduct 2. Penn State University Code of Student Conduct 3. Rutgers University Code of Student Conduct 4. The Ohio State University Code of Student Conduct. 5. University of Maryland Code of Student Conduct. 6. George Mason University Code of Student Conduct 7. James Madison University Student Handbook 8. Old Dominion University Code of Student Conduct 9. Virginia Tech Student Code of Conduct
<p>5. What is your general assessment of this policy's impact on the university community?</p>	<p>This policy assists the university with protecting the student body population and upholding all students to standards regarding prohibited conduct.</p>



VCU

[DRAFT] Student Code of Conduct

Policy Type: Board of Visitors

Responsible Office: Office of Student Conduct and Academic Integrity, Office of the Provost

Initial Policy Approved: 05/10/2013

Current Revision Approved: MM/DD/YYYY

Policy Statement and Purpose _____

VCU Creed: Philosophy for a University Community

Academic institutions exist, among other reasons, to discover, advance and transmit knowledge and to develop in their students, faculty and staff the capacity for creative and critical thought. At Virginia Commonwealth University, members of the community should strive to exemplify the following specific ideals in addition to other worthy ideals:

- To demonstrate academic and personal integrity.
- To respect the rights and property of others.
- To be open to others' opinions.
- To uphold academic freedom and freedom of intellectual inquiry.
- To appreciate diversity and to value and learn from the uniqueness of each person.
- To uphold the right of all persons to be treated with dignity and respect and to refrain from all forms of intimidation, harassment and illegal discrimination.
- To demonstrate and respect intellectual courage in situations that demand it.

Students are encouraged to engage in responsible social conduct that reflects credit upon the University community and to model good citizenship in any community. Students should not remain passively in the presence of violations. Students are encouraged to notify the proper authorities if they observe or have knowledge of other students violating the Student Code of Conduct.

Noncompliance with this policy by staff may result in disciplinary action up to and including termination. Noncompliance with this policy by students may result in sanctions as provided in this policy. VCU supports an environment free from retaliation. Retaliation against any staff who brings forth a good faith concern, asks a clarifying question, or participates in an investigation is prohibited.

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Who Should Know This Policy

University students, staff, faculty, and Student Organizations are responsible for knowing this policy and familiarizing themselves with its contents and provisions.

Definitions

Adviser

The term “adviser” is a person who has been asked by the respondent or student complainant to attend any part of the student conduct process to provide support and assistance directly to the student but not to participate in the process on the student’s behalf.

Complainant

The term “Complainant” means any person or entity that submits a charge alleging that a student violated the Student Code of Conduct.

Conduct Appeal Board (CAB)

The term “Conduct Appeal Board” means any person or persons authorized by the Director of Student Conduct and Academic Integrity or designee to consider an appeal from a Student Conduct Board’s determination.

Instructional Faculty

The term “Instructional Faculty” means any person hired by the University to conduct classroom or teaching activities or activities involving research, administration or clinical responsibilities or who is otherwise considered by the University to be a member of its faculty.

May

The term “may” is used in the permissive sense.

Member of the University Community

The term “Member of the University Community” includes any person who is a student, faculty, staff, or any other person employed by the University. A person’s status in a particular situation shall be determined by the Director of Student Conduct and Academic Integrity or designee.

Off-campus

The term “Off-campus” applies to any location not on university property.

Policy

For the purpose of this policy, the term “Policy” means any written standards of student conduct as found in, but not limited to, the Student Code of Conduct, Sexual Misconduct/Violence and Sex/Gender Discrimination, the Residential Life and Housing Contract, VCU Alcohol and Other Drugs, the Faculty Guide to Student Conduct in Instructional Settings, Student Conduct in Instructional Settings, Procedures for Registering Student Organizations, the University Computer and Network Resources Use Policy, the Undergraduate/Graduate Bulletins as found on the University web page, or other University publications or resources.

Preponderance of Evidence

The term “Preponderance of Evidence” is the standard of proof that applies to student conduct proceedings or determinations. It means that the evidence supports a conclusion that it is more likely than not that a policy violation occurred.

Respondent

The term “respondent” means any student or student organization charged with violating this Student Code of Conduct.

Sanction Review Board (SRB)

The term “Sanction Review Board” means any person or persons authorized by the Director of Student Conduct and Academic Integrity or designee to determine appropriate sanctions.

Staff

Any person with a direct employment relationship with VCU, including those who work on a part-time or adjunct basis. An individual can hold a status as both a student and staff.

Student

The term “Student” includes all persons taking courses through VCU, either full-time or part-time, on-line or in-person, single or dual enrolled, pursuing undergraduate, graduate or professional studies. “Student” also includes all persons who withdraw after allegedly violating the Student Code of Conduct, persons who are not enrolled officially for a particular term but who have not officially withdrawn from the university, persons who have been notified of their acceptance for admissions, and persons living in VCU residence halls regardless of course enrollment.

Student Conduct Administrator

The term “Student Conduct Administrator” means the Director of the Office of Student Conduct and Academic Integrity or other University administrator official designated on a case-by-case basis to administer the adjudication process under this policy, including investigating reported misconduct, determining responsibility for misconduct, and assigning appropriate sanctions.

Student Conduct Board (SCB)

The term “Student Conduct Board” means any person or persons authorized by the Director of Student Conduct and Academic Integrity or designee to determine whether a student has violated the Student Code of Conduct and to recommend sanctions that may be imposed when a violation has been committed.

Student Organization

The term “Student Organization” means any student group registered with the University.

University Property

The term “University Property” means any property owned, leased, or controlled by Virginia Commonwealth University.

Contacts _____

The Office of Student Conduct and Academic Integrity officially interprets this policy. The Office of Student Conduct and Academic Integrity is responsible for obtaining approval for any revisions as required by the policy *Creating and Maintaining Policies and Procedures* through the appropriate governance structures. Please direct policy questions to The Office of Student Conduct and Academic Integrity. Comments can be directed to the director of the Office of Student Conduct and Academic Integrity at stuconduct@vcu.edu.

Policy Specifics and Procedures _____

All complaints of alleged sexual misconduct committed by University students, as defined in the University’s Sexual Misconduct/Violence and Sex/Gender Discrimination policy, are governed exclusively by the rules and procedures in the Sexual Misconduct/Violence and Sex/Gender Discrimination policy. All those seeking information regarding the adjudication of sexual misconduct complaints against University students shall refer to the [Sexual Misconduct/Violence and Sex/Gender Discrimination](#) policy.

Prohibited Conduct

The University Student Code of Conduct shall apply to all conduct by students on University property, at VCU-sponsored activities, and off-campus. The Director of Student Conduct and Academic Integrity or designee shall decide at their sole discretion on a case-by-case basis whether the Student Code of Conduct shall be applied to conduct occurring off campus. The Student Code of Conduct governs students at all campuses; however, students are advised to consult local campus (i.e. VCUarts Qatar) publications for additional information or rules pertaining specifically to those campuses that may establish hearing boards or processes, consistent with the Student Code of Conduct.

Each student shall be responsible for their conduct from the time of application for admission through the actual awarding of the degree. The Student Code of Conduct shall apply to a student's conduct even if the student withdraws from school while a disciplinary matter is pending or if conduct is discovered after a degree is awarded.

The following conduct, committed or attempted, is prohibited for all students and student organizations, and is subject to disciplinary sanctions:

1. Abusive Conduct

- a. Assault – Words or actions that would cause an individual(s) to reasonably fear for their immediate safety. Words do not constitute assault unless they are accompanied by the apparent ability to inflict immediate bodily harm.
- b. Battery – The unjustified use of physical force against an individual or group.
- c. Disorderly conduct - Disrupting or preventing the peaceful or orderly conduct of classes, lectures, meetings, or other University functions, or interfering with the lawful freedom of other persons, including invited speakers, to express their views, or interfering with the performance of the duties of University personnel.
- d. Endangering health or safety - Taking or threatening actions that endanger the physical safety, mental health, or life of any person(s) or creates reasonable fear of such action.
- e. Harassment – Repeated, persistent, or pervasive actions directed towards specific individual(s) with the intent or effect to harm, or alarm, including attempted or threatened physical contact or repeated or pervasive acts that create the reasonable apprehension of unwanted physical or verbal contact as well as contact through any electronic or digital medium.
- f. Hazing – Recklessly or intentionally subjecting a person(s) to any mental or physical requirement, request, or obligation that could cause discomfort, pain, fright, disgrace, injury, that is personally degrading, or that violates any federal, state, or local statute or University policy in connection with initiation, admission into or affiliation with or as a condition for continued membership in a club, organization, fraternity, sorority, or other group; the willingness of the individual to participate in such activity notwithstanding.
- g. Recording and/or disseminating images or audio without consent - Using electronic or other means to make or disseminate a video, audio, or photographic record of any person(s) where there is a reasonable expectation of privacy without the person's consent.

- h. Stalking – A course of conduct (i.e., more than one act) directed at a person that would cause a reasonable person to feel or experience fear, intimidation, or emotional distress, or to fear for the safety of a third person. A series of acts that together constitute stalking may be direct actions or may be communicated by a third party, and can include, but are not limited to: threats of harm to self or others; pursuing or following; non-consensual (unwanted) communication by any means; trespassing; and surveillance or other types of observation

2. Academic Misconduct

Refer to the [Honor System](#) for academic expectations, rights, responsibilities, violations, hearing processes, sanctions, and records related to charges of academic misconduct, including plagiarism, cheating, lying, stealing, and facilitation of academic misconduct.

3. Acts of Dishonesty

- a. Furnishing false information to any staff, faculty member, or office.
- b. Forgery, alteration, or misuse of any University document (e.g., student transcript), record or instrument of identification.

4. Alcoholic Beverages/Drugs

- a. Alcoholic beverages – The unlawful possession, distribution, sale or use of alcoholic beverages or public intoxication are prohibited. Alcoholic beverages may not, in any circumstance, be used, possessed by or distributed to any person under 21 years of age. The possession and/or use of alcohol in University facilities and at University events by those individuals 21 years of age or older, may be subject to additional University regulations and restrictions. Any violation of the [Alcohol and Other Drugs](#) policy may result in action under the Student Code of Conduct.
- b. Drugs – Illegal possession, use, manufacture, sale, dispensation, or distribution of any controlled substance (including prescription drugs/medication) are prohibited except as expressly permitted by law. Any violation of the [Alcohol and Other Drugs](#) policy may result in action under the Student Code of Conduct.
- c. Paraphernalia – Possession of paraphernalia used to consume illegal drugs is not permitted on university property. Paraphernalia includes but is not limited to roach clips, bongs, pipes, blow tubes, bowls, and any type of water pipe or object filled with water through which smoke is drawn.

5. Failure to Comply

- a. Failure to comply with a reasonable request or directive of University Officials. This includes, but is not limited to, failure to present a University identification card, failure to keep or attend a required meeting, or failure to leave any University premise when requested by a University Official.
- b. Failure to observe rules and regulations issued by the University.
- c. Failure to complete or comply with a University imposed sanction.

6. False Reports

- a. Making an intentionally false report of any Student Code of Conduct or other policy violation is prohibited and may also violate state criminal statutes and civil defamation laws.

7. Weapons

- a. Possession or carrying of any weapon by any person, except a duly authorized law enforcement personnel, is prohibited on university property, including but not limited to, academic offices, administrative office buildings, medical venues, clinics, laboratories, research facilities, residence halls, dining facilities; or while attending sporting, entertainment or educational events.
- b. For purposes of this document, in addition to items defined as weapons by the [Virginia Commonwealth University Weapons Regulation](#), anything used by a student to injure or attempt to injure another person is considered a weapon.

8. Fireworks/Explosives/Dangerous Chemicals

- a. Unauthorized possession or use of fireworks, explosives or dangerous chemicals is prohibited.

9. Gambling

- a. Participation in any form of illegal gambling as delineated in the [Commonwealth of Virginia Code 18.2.325](#).

10. Theft or Unauthorized Use of Property

- a. Theft - Theft, attempted theft, or possession of stolen property or services or possession of burglarious tools.

- b. Unauthorized use of university property or services.
- c. Climbing - Unauthorized climbing inside or outside campus buildings or structures.
- d. Defacing/vandalizing - Defacing or vandalizing University land, buildings, equipment or property.
- e. Damage or destruction of property - Actual or threatened damage or destruction of University property or property of others, whether done intentionally or with reckless disregard.
- f. Unauthorized presence or entry - Entering or being present in University buildings, rooms, or other areas without proper authorization.
- g. Tampering -Tampering with University equipment, including but not limited to, any elevator, wiring, plumbing, doors, locking mechanisms, University keys, access cards, or other University equipment without authorization from a University Official.
- h. Misuse of fire-fighting equipment/disregard of fire alarm signals/arson - Misuse or tampering with fire-fighting equipment, disregard of a fire alarm signal or refusal to evacuate a building, tampering with detection or suppression equipment, initiating a false fire alarm or unauthorized burning of any material in any University building or on University property.
- i. Obstruction - Blocking of the free flow of pedestrians or vehicular traffic on University premises or at University sponsored or supervised functions.

11. Abuse of Computer Facilities and Resources

- a. Violations include, but are not limited to, unauthorized entry, unauthorized transfer of a file, use of another individual's identification and/or password, use of computing facilities and resources to interfere with the work of another University member, use of computing facilities and resources to send obscene or abusive messages, use of computing facilities and resources to interfere with the normal operation of the University computing system, use of computing facilities and resources in violation of copyright laws, or any violation of the [University Computer and Network Resources Use](#) policy.

12. Retaliation

- a. Any actual or threatened adverse action against a person because of the person's participation in a complaint, investigation, or adjudication of misconduct.

13. Involvement in a University Violation

- a. Presences during any violation of the Student Code of Conduct in such a manner to condone, support, or encourage that violation.

14. Violation of other disseminated University regulations, policies, or rules. Examples of such regulations include, but are not limited to, University computing policies, Residential Life and Housing policies, and recreational sports facility policies.

15. Violation of any federal, state or local law. Any violation of local, state or federal law, which affects a substantial university interest, such as a violation committed in the municipality where the University is located; when the violation is detrimental to the educational interests of the University; or when the violation presents a danger to the student or others.

VIOLATION OF LAW AND UNIVERSITY DISCIPLINE

University disciplinary proceedings may be instituted against a student or student organization charged with conduct that potentially violates criminal or civil law and the Student Code of Conduct (that is, if both possible violations result from the same factual situation). Proceedings under the Student Code of Conduct may be initiated and carried out prior to, simultaneously with, or following civil or criminal proceedings at the sole discretion of the Director of the Office of Student Conduct and Academic Integrity (OSCAI) or designee. Determinations made or sanctions imposed under this Student Code of Conduct shall not be subject to change because of the criminal or civil outcomes.

STUDENT CODE OF CONDUCT AUTHORITY

The Director of the OSCAI or designee shall determine the composition of the Student Conduct Board (SCB), Sanction Review Board (SRB) and the Conduct Appeal Board (CAB) and will determine which administrator or board shall be authorized to hear each matter. The Director of the OSCAI or designee shall develop procedures for the administration of the student conduct system and procedural rules for the conduct of SCB Hearings that are not inconsistent with the provisions of the Student Code of Conduct. Decisions made by the SCB, SRB and/or Student Conduct Administrator shall be final, pending the appeal process provided in this policy.

RIGHTS AND RESPONSIBILITIES

All student complainants and respondents are provided the following rights and responsibilities throughout the University student conduct process:

1. The right to receive written notification of any alleged violation via official forms of University communication (i.e., VCU email).
2. The right to know the source of any allegation.
3. The right to know the specific alleged violation of the Student Code of Conduct.
4. The right to know any sanctions that may be imposed by the University if found responsible for specific violations of the Student Code of Conduct.

5. The right to present their own information.
6. The right to be accompanied by an adviser of their choice and at their own expense during the University student conduct process for advisory purposes only. Advisers are not permitted to speak or to participate directly in the University student conduct process unless authorized by the Student Conduct Administrator. When selecting an adviser, students should be cognizant of any scheduled meetings or hearings. Delays in the University student conduct process will not be allowed due to the scheduling conflicts of an adviser.
7. The right to have the opportunity to respond to any allegation and provide witnesses and/or pertinent additional information.
8. The right to refrain from making any statement concerning alleged violations of the Student Code of Conduct.
9. The right to know that any statements made by the Complainant and/or respondent can be used during the University student conduct process.

CHARGES AND STUDENT CONDUCT BOARD (SCB) HEARINGS

Any member or entity of the University community, including the OSCAI based on information provided to the university, or others outside of the University may file charges against a student respondent or student organization for violations of the Student Code of Conduct. Any charge should be submitted as soon as possible after discovery of the alleged violation. Absent extraordinary circumstances, the written charge must be filed within six months of discovery of the offense. A charge shall be prepared in writing and directed to the OSCAI or other designated office. Once the charge has been submitted, the Director of OSCAI or designee will review the charge and appoint a Student Conduct Administrator to complete an investigation.

OSCAI will send a Notification Letter to the VCU email address of the respondent citing the specific charges and instructions to contact the Student Conduct Administrator to schedule a meeting to discuss the charges. The respondent will have five business days from the date of the Notification Letter to contact the Student Conduct Administrator. If the student fails to respond to the Notification Letter or does not attend the scheduled meeting, the University may proceed with adjudication of the charges without the student's input.

The Student Conduct Administrator will complete an investigation of the charges in the Notification Letter. The Student Conduct Administrator will offer to meet with the respondent to discuss the charges. The Student Conduct Administrator may meet with the complainant as well as with any witnesses and examine additional information. Based upon all of the examined information and witness statements, the Student Conduct Administrator will make a determination of responsibility using the preponderance of the evidence standard. The student will have the following options based upon the Student Conduct Administrator's determination:

1 - No Violation Established by the Administrator:

The Student Conduct Administrator will notify the respondent that the University has found the respondent not responsible for the violation(s) charged and that no sanction will apply. The matter will be closed without requiring further action by the respondent.

2- Violation Established - Administrative Adjudication:

Respondent accepts responsibility and sanctions

The respondent may accept responsibility for violating specified provisions of the Student Code of Conduct and agrees to complete the sanctions assigned by the Student Conduct Administrator. Students choosing this option may not appeal.

3 – Violation Established - Sanction Review Board (SRB):

Respondent accepts responsibility, but disagrees with sanctions

If the respondent accepts responsibility for violating specified provisions of the Student Code of Conduct but disagrees with the sanctions assigned by the Student Conduct Administrator, the respondent may seek review by the SRB. The request to the SRB must be submitted in writing and completed within five business days from the date of notification of the Student Conduct Administrator's determination. The SRB is comprised of three University Community members with at least one student and one staff or instructional faculty member.

The SRB will review the respondent's written statement contesting their sanction, as well as a written statement from the Student Conduct Administrator explaining the recommended sanctions. The SRB will assign an appropriate sanction, which may be more severe than the recommended sanction. Decisions of the SRB are final and not subject to further appeal.

Based upon the SRB's review, OSCAI will notify the respondent, and if necessary the individual complainant, in writing of sanctions via their VCU email address. A decision by the SRB that results in a student being suspended or expelled from the university must be approved by the Senior Vice Provost for Student Affairs (SVPSA) or designee.

4- Violation Established – Student Conduct Board (SCB):

Respondent disagrees with finding of responsibility

If the student denies responsibility for violating the specified provisions of the Student Code of Conduct, OSCAI will schedule a SCB hearing to consider the information and evidence and make a determination concerning the allegations and, if necessary, any sanctions. The SCB is comprised of four University Community members with at least one student, one staff or instructional faculty member, and a non-voting chair. OSCAI will notify the respondent of the date, time and location of the

hearing at least five business days prior to the scheduled SCB hearing. If the respondent (and/or the complainant, if appropriate) fails to attend the scheduled SCB hearing, the hearing will proceed in the student's absence and the student's ability to appeal the SCB hearing decision may be limited.

A SCB hearing typically consists of the following components:

- Introduction and procedural rules presented by the SCB chair.
- Introductory statement and presentation of information by Student Conduct Administrator and/or complainant.
- Witnesses presented by the Student Conduct Administrator and/or complainant if any.
- Introductory statement and presentation of information by the respondent.
- Witnesses presented by the respondent if any.
- Closing statement by Student Conduct Administrator and/or complainant.
- Closing statement by respondent.
- Closed session deliberation by SCB.

Witnesses will provide information to and answer questions from the SCB. The respondent or complainant may propose questions to the chairperson to be asked of the other party or witnesses. The chairperson will determine whether proposed questions or information will be presented.

All procedural questions are subject to the final decision of the chairperson of the SCB.

There shall be a single record, such as a digital recording, of all SCB hearings excluding deliberations. The record shall be the property of the University and maintained securely consistent with university standards.

When the alleged victim is serving as the complainant or as a witness, alternative testimony options will be available, such as allowing the alleged victim to testify via electronic means.

The SCB will determine, by majority vote, if the respondent is responsible for the charges based on a preponderance of the evidence presented at the hearing. The SCB will notify the Director of Student Conduct and Academic Integrity or designee of the determination and any recommended sanctions. The Director of Student Conduct and Academic Integrity or designee will determine the final sanctions and notify the respondent, and if appropriate the complainant, within five business days of the SCB hearing in writing via their VCU e-mail address.

Any appeal of the SCB's decision must be made by the respondent in writing to the OSCAI ([see section 5: "Formal Appeals Process"](#)) within five business days following the date of the notification. The OSCAI will then forward the appeal as well as a written statement responding to the appeal from the Student Conduct Administrator to a Campus Appeal Board (CAB). The CAB is comprised of three University Community members with at least one student and one staff or instructional faculty member. The CAB will review the respondent's written appeal as well as the written statement of the

Student Conduct Administrator. The CAB will then make one of two recommendations to the SVPSA or designee concerning the appeal: (1) uphold the SCB determination, or (2) remand the matter to the SCB. The SVPSA or designee will review the recommendation of the CAB, make a final determination concerning the respondent's appeal and notify the respondent of that outcome. The SVPSA or designee, in their sole discretion, may accept the CAB recommendation or reject the recommendation and remand or render an alternative finding.

5 - Formal Appeals Process

All appeals to the SRB and CAB must be in writing using the appropriate Appeal Form (provided by OSCAI). All appeals must be submitted to OSCAI within (5) business days following the date of the SRB's or CAB's decision. Appeals to the CAB may be based only on one or both of the following two criteria:

1. New and pertinent evidence or information has come to light.
2. A procedural error occurred that would have impacted the outcome of case.

The written appeal must contain any and all information relevant to the appeal, including any new evidence or information when new and pertinent evidence is the selected appeal ground. After receipt of the appeal, the Student Conduct Administrator and/or Complainant may submit a statement responding to the claims or issues presented by the written appeal. The OSCAI will submit the written appeal and all other written statements to the SRB or CAB, as applicable.

ADMINISTRATIVE ACTIONS

Interim Suspension

Temporary measure to remove a student reasonably believed to pose a threat to the University Community. For more detail refer to the Dean of Students resource page regarding [Interim Suspension](#).

Revocation of Admission

Revocation of Admission entails rescinding the offer of University admission that had been awarded under circumstances of fraud, misrepresentation, or other violation of University standards in the student's matriculation to the University.

Revocation of Degree

Revocation of Degree entails rescinding a University degree that had been awarded under circumstances of fraud, misrepresentation, or other violation of University standards. For more detail refer to the [VCU Procedures for Degree Revocation](#) policy.

SANCTIONS

Upon any final finding of responsibility of a Student Code of Conduct violation, one or more sanctions may be imposed for each violation. Failure to complete any assigned sanction is a separate violation of the Student Code of Conduct. Violations involving impairment from the voluntary use of alcohol and/or other drugs, (other than medically prescribed) shall be considered an aggravating, and not a mitigating, factor in sanctioning. All sanctions become part of a student respondent's permanent University disciplinary record. The University may withhold a degree, or any other academic achievement, otherwise earned, until the completion of the process set forth in this Student Code of Conduct, including appeals and the completion of any and all sanctions.

The following sanctions **are not** recorded on a student's transcript. These sanctions are not reported to external agencies as a University disciplinary action, unless required by law.

Censure

Censure is a written notice warning to the respondent to avoid a recurrence of any conduct that violates the Student Code of Conduct and/or any University policy. Subsequent violations of the Student Code of Conduct or any University policy may result in more severe disciplinary action.

Disciplinary Probation

Disciplinary probation is a specified period of time, a minimum of one semester, requiring the respondent to avoid a recurrence of any conduct that violates the Student Code of Conduct and/or any University policy that may result in additional University sanctions including but not limited to suspension or expulsion.

Educational Experiences

Educational experiences are learning opportunities, including but not limited to, community service, drug and alcohol education, and written papers, designated to be completed by the student. In addition, an alcohol and drug assessment and/or behavioral health assessment may be completed by a qualified medical or mental health professional and released to an appropriate University official.

Loss of Privileges

Loss of privileges is a denial of services, privileges, and benefits which may impact participation in extracurricular activities, residence in University housing, University employment, Honors College, leadership within student organizations, academic activities, and study abroad, for a designated period of time.

Fines

Previously established and published fines may be imposed.

Bans, Deactivations and Holds

Bans, deactivations and holds are restriction of access to University services, activities, facilities or registration.

Restitution

Restitution is monetary reimbursement to the University and/or a member of the University community or others to cover the cost of damage, injury, or loss of community or personal property as a result of a violation.

No Contact

The respondent is instructed to avoid direct and indirect contact with an identified individual or group. This includes but is not limited to contact in person, through electronic means, or through a third party.

University Policy Sanctions

University Policy Sanctions are any sanctions not specified in the Student Code of Conduct, but which are applied to a respondent as a result of prohibited behavior of another University policy.

Deferred Suspension

Deferred suspension is a designated period of time during which a student is given the opportunity to demonstrate the ability to abide by the Student Code of Conduct. Subsequent violations of the Student Code of Conduct during the term of a deferred suspension will result in a full suspension.

The following sanctions **are** recorded on a student's transcript. These sanctions are reported to external agencies as a University disciplinary action and as required by law.

Suspension

Suspension is removal of a respondent for a defined period of time, for a maximum of six consecutive semesters, during which a student loses all University privileges, which generally includes access to facilities, programs, classes, and premises. Consistent with the University's continuous enrollment policy, all students who do not attend VCU for three or more successive semesters, excluding summer sessions, must submit an application for readmission.

Expulsion

Expulsion is permanent dismissal from the University, administrative withdrawal from classes and loss of all University privileges.

NOTIFICATION OF SANCTIONS

Notice to the Public

Sanctions and other records related to student conduct processes are part of the educational record of the respondent and are protected from release under the Family Educational Rights and Privacy Act (FERPA), a federal law. However, the University observes the legal exceptions to FERPA, which permit the university to release publicly the student's name, violation committed, and any sanction imposed if the violation is a "crime of violence" (arson, burglary, robbery, criminal homicide, assault, destruction/damage/vandalism of property, and kidnapping/abduction).

Notice to a Complainant

The University shall release to the complainant the respondent student's name and the nature of the policy violation that is final results described above related to a crime of violence as described above regardless of the outcome.

Notice to Parents

When students under the age of 21 are found responsible for violating alcoholic beverage and/or controlled substance laws or policies, VCU will notify their parent or guardian of such violations if the student is under the age of 21 at the time of the notification, in accordance with FERPA.

INTERPRETATION AND REVISION

Any question of interpretation or application of the Student Code of Conduct shall be referred to the director of Student Conduct and Academic Integrity or designee for final determination. The Student Code of Conduct shall be reviewed every three years under the direction of the director of Student Conduct and Academic Integrity.

Forms _____

There are no forms associated with this policy.

Related Documents _____

1. VCU Policy: [Sexual Misconduct/Violence and Sex/Gender Discrimination](#)
2. VCU Policy: [Honor System](#)
3. VCU Policy: [Alcohol and Other Drugs](#)
4. VCU Policy: [University Computer and Network Resources Use Policy](#)
5. VCU Policy: [Procedures for Degree Revocation](#)
6. [Graduate Bulletin](#)
7. [Undergraduate Bulletin](#)
8. VCU Policy: [Computer and Network Resources Use](#)
9. VCU Information on [Rights of Students Under FERPA](#)
10. [Residential Life and Housing Contract](#)
11. VCU Policy: [Procedures for Registered Student Organizations](#)
12. VCU Student-Athlete Code of Conduct
13. VCU Policy: [Faculty Guide to Student Conduct in Instructional Settings](#)
14. [Interim Suspension](#)

Revision History _____

This policy supersedes the following archived policies:

May 10, 2013 [New Policy]	<i>Student Code of Conduct</i>
April 3, 2015	<i>Student Code of Conduct</i> (Minor SCHEV requirement revision added)
January 26, 2017	<i>Student Code of Conduct</i> (minor revision to reflect current policy names and updated hyperlinks)

FAQ

Q: What is the policy regarding alcohol and other drugs?

A: Students under the age of 21 may not procure, possess, or consume alcoholic beverages. Additionally, students may not manufacture, distribute, dispense, possess or use illegal or illicit drugs. Please see the university's [Alcohol and Other Drugs](#) policy.

Q: If I did not commit the violation of which I am being accused, why do I need to respond?

A: All allegations of misconduct will be investigated. The investigation process affords the respondent the right to respond to and refute the allegation. If it is determined that a respondent is not responsible for the alleged misconduct, the matter will then be closed with no formal action taken against the respondent.

Q: What does a hold on my registration mean?

A: Your registration may be blocked for failure to schedule or attend a meeting regarding an alleged violation or failure to comply with a sanction. In such circumstances, the hold is removed once you schedule and attend your conduct meeting, or upon completion of the sanction.

Additionally, students classified as seniors or nearing the end of their graduate/professional program shall have a degree hold imposed pending the adjudication of the alleged misconduct, including all appeal options.

Q: What if I am off campus at the time of the alleged violation?

A: The University Student Code of Conduct may apply to any conduct by a student whether on University property, at VCU-sponsored activities, **or at off-campus locations.**

Q: Can my case go through the courts and the university conduct process?

A: **Yes. They are entirely independent and separate process.** University disciplinary proceedings may be instituted against a student charged with conduct that may violate criminal or civil law and the Student Code of Conduct (that is, if both possible violations result from the same factual situation). Proceedings under the Student Code of Conduct may be initiated and carried out prior to, simultaneously with, or following civil or criminal proceedings. Determinations made or sanctions imposed under the Student Code

of Conduct shall not be subject to change because of the criminal or civil outcomes. The concept of 'double jeopardy' applied in criminal settings is not applicable to a University proceeding.

Q: What is FERPA?

A: The Family Education Rights and Privacy Act (FERPA, 1974) affords students the right to consent to disclose their educational records. A student can authorize in writing to have a designated person access confidential academic information. Additional resources can be found here:

<https://rar.vcu.edu/records/family-educational-rights-and-privacy-act/>

Q: Will my parents or guardians be notified of a violation?

A: When a student under the age of 21 is found responsible for violating alcohol, drugs, and/or controlled substance laws or policies, the student's parents or guardians may be notified. The notification will include information concerning the violation, the university sanctions, and reiterate the University's expectations for future behavior.

NOTE: Residential Life and Housing or the Dean of Students may notify parents, guardians, or others in connection with a health or safety emergency.

Q: Will my records be released for a background check?

A: A student may need to provide a disciplinary history to a third party for a study abroad program, graduate school, employment, etc. With a signed release by the student, the University may release to the external agency disciplinary records as requested by the student and generally related to suspension or expulsion.

Q: What conduct records are maintained and for how long?

A: All student conduct records are maintained in an electronic database for a minimum of seven (7) years, in compliance with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act. If an individual receives additional sanctions during the seven-year period, records of all violations will be retained until there is a period of seven years following the most recent incident. If an individual is suspended or expelled, complete records of the proceedings and all pertinent documents, including records of previous lesser sanctions, shall be maintained permanently.

Q: What sanctions are recorded on a student's transcript?

A: Suspensions and expulsions are noted on a student's transcript.

Q: If a respondent is found responsible for arson, assault, battery, or endangering health and safety, and an identified party is the victim of such behavior, will the identified party be notified of the outcome of the respondent's student conduct process?

A: Yes. The University will consider the interest of an individual victim of arson, assault, battery, or endangering health or safety and may notify them of the outcome of the respondent's student conduct process.



VCU

Faculty Senate

Bylaws of the Faculty Revision

February 2018

Revision of the *Bylaws of the Faculty* was undertaken this academic year in order to update language related to the new Human Resources (HR) redesign (definitions of faculty). In addition, content related to roles of members of the Faculty Senate has been moved to the *Standing Rules of the Faculty Senate* and the *Faculty Senate Leadership Guidelines*. Information on faculty governance and transparency as well as alignment of Board, Administration, and Faculty responsibilities was added. Grammatical and stylistic edits were also accomplished.

Specific changes in alignment of faculty descriptions necessitated the removal of terms “teaching and research faculty” from the Preamble (Article I). Content relating to shared governance was added to the Purpose section (Article II). In Article III, in accordance with the new HR redesign terminology, a new definition of Voting Membership states

“Faculty shall consist of the professors, associate professors, assistant professors, and instructors, who are full-time employees of the University and who hold continuing appointments for the Board of Visitors as faculty members.”

Comments on definition of naming “schools” within the document were removed, and reference to the term “school” within the document has been changed to “Unit” as this term covers the distinction of individual academic entities described in the *Bylaws of the Faculty*. “Schools,” “Colleges,” “Libraries,” and “Units” now carry the designation “Unit.”

In Article IV, language has been moved to *Standing Rules of the Faculty Senate* where it relates more appropriately to specific roles and guidelines for Faculty Senate leadership, nomination and election of officers, and standing committees of the Faculty Senate.

In Article V, information for meetings of the General Faculty was clarified, as was a statement on parliamentary authority governing those meetings (formerly Article VII). Article VI on Unit Governance remained essentially the same. Article VIII on Review and Revision of the Bylaws became Article VII and incorporates some clarifications and stylistic changes.

This revision of the *Bylaws of the Faculty* has come before the Faculty Senate twice, with the latest resulting in a unanimous approval of the Voting Senators on February 27, 2018. Please access <https://goo.gl/zsgNPW> to view the current (2004) version of the *Bylaws of the Faculty*.

Respectfully submitted,

Joan M. Pellegrini, PhD, RDH

Chair, Credentials and Rules Committee of VCU Faculty Senate



Faculty Bylaws Ballot Total Responses and Comments

Approve: 202
Do not approve: 9

Q2. Please provide additional comments below (optional):

- Document is silent on parliamentary authority of the faculty senate itself. Does Roberts Rules of Order apply to a meeting of the faculty senate, as it does for a meeting of the general faculty? (see Article IV.3) I checked the standing rules of the faculty senate and they too are silent on parliamentary authority.
- Good job tightening the verbage. Further attempts at efficiency & clarity should be applauded. (Shorter Bylaws are more likely to be read in full, and therefore, comprehended.)
- Well thought-out; revisions/updates made with due consideration of the history of the Senate and its Bylaws and their function within the university, adjusted to accommodate new processes but maintaining fundamental university faculty prerogatives.
- I strongly oppose the exclusion of adjuncts from the definition of "faculty."
- Looks good. Nice job!
- Why waste our time with paper pushing, and not do anything actually important? VCU has unsubstantive (fake) shared governance
- Thank you so much for your work!
- Many thanks for renewed commitment to shared governance!

Please note all responses are actual no spell check nor words/statements has been adjusted.

Faculty Senate responses to above comments:

- This has been addressed in the Standing Rules of the Faculty Senate revision by stating that Roberts Rules of Order will be our guide on parliamentary procedure.
- Thank you.
- Thank you.
- Adjunct Faculty are excluded from the definition of "voting membership of the Faculty" (there is no definition of "faculty" in this document); however, the role of Adjunct Faculty is recognized as an important role by the University. Faculty Senate has an adjunct faculty member as an Honorary Senator and is working with the University to create a communications pathway for adjunct faculty (likely a listserv).
- Thank you.
- ---
- You're welcome.
- You're welcome.

BYLAWS OF THE FACULTY

ARTICLE I: PREAMBLE

We, the Faculty of Virginia Commonwealth University, having been duly appointed by the Board of Visitors, and believing the purposes and objectives of any university can best be met through the combined effort and cooperative deliberation of its governing board, its administrators, and its faculty, do hereby establish these *Bylaws* to set forth the governing principles and procedures which will guide the Faculty of Virginia Commonwealth University in all its deliberations.

ARTICLE II: PURPOSE

The purpose of the Faculty shall be the furtherance and dissemination of knowledge and professional skills through teaching, study, research, creativity, exhibition, performance, and provision of community engagement. An additional objective will be to help ensure through investigation, examination, comment, and recommendation the educational goals of the University are being realized by the policies and procedures employed in the University. The Faculty should have appropriate representation on University committees impacting faculty functions. The Faculty value collaboration, representative voice, transparency, accountability, and the alignment of Board, Administration, and Faculty responsibilities in pursuit of the University's mission. The Faculty affirm their commitment to shared governance and seek to act in accordance with the ideals of shared governance set out by the VCU University Council and the President of the University.

ARTICLE III: VOTING MEMBERSHIP

The voting membership of the Faculty shall consist of the professors, associate professors, assistant professors, and instructors who are full-time employees of the University and who hold continuing appointments from the Board of Visitors as faculty members.

ARTICLE IV: FACULTY SENATE

Section 1. Purpose of the Faculty Senate

The Faculty Senate shall represent the Faculty in areas of its responsibilities and concerns:

- a. to help create, maintain, and protect a university-wide environment conducive to growth of scholarship, creativity, learning, teaching, research, service, and respect for human dignity and rights;
- b. to accept and share responsibility with administration and students in an effort to improve the stature and effectiveness of the University;
- c. to consider such policies, programs, and other matters as the administration, unit faculties, student organizations, and individual members of the Faculty may propose;

- d. to develop and propose academic or educational policies which affect the University, the Faculty, or students;
- e. to express opinions on University affairs as the Faculty Senate deems appropriate and necessary.

Section 2. Composition of the Faculty Senate

- a. Members of the Faculty, as defined in Article III, who are not serving in administrative positions at or above the level of Department Chair are eligible to be members of the Faculty Senate.
- b. There are four categories of Senator:
 - (i) Elected Senators: are elected as specified below in Section 5, and have full debating and voting privileges.
 - (ii) Senators at Large: in those instances when it is necessary for their continued membership in the Faculty Senate, the officers and the outgoing President of the Faculty Senate shall be Senators at Large with full rights of membership and shall occupy specially created seats for one year.
 - (iii) Honorary Senators: in addition to the membership identified above, the President of the Faculty Senate will, as specified in the Standing Rules, appoint Honorary Senators with rights of discussion in Faculty Senate proceedings, but they do not have voting rights.
 - (iv) Alternate Senators: are elected as specified below in Section 5. They serve as substitutes, with full debating and voting privileges, for Elected Senators from their Unit when the latter are unable to attend a meeting. When not serving as substitutes, they have rights of discussion in Faculty Senate proceedings but do not have voting rights.
- c. The term "Voting Senator" shall refer to Elected Senators, Senators at Large, and Alternate Senators actively serving as substitutes.

Section 3. Terms of Office of Faculty Senators

- a. Elected Senators shall serve three-year terms beginning on August 16th following their election. Elected Senators who served a full three-year term shall not be eligible to serve again as Elected Senators for one year following the expiration of their term; however, such Senators are eligible for election as Alternate Senators. Alternate Senators who fill vacated Senate seats as directed in Section 5.b shall be eligible for immediate re-election at the end of the completed term.
- b. Honorary Senators are appointed annually and are eligible for reappointment without restriction.
- c. Alternate Senators shall serve one-year terms beginning on August 16th following their election. They are eligible to serve again as Alternate Senators or as Elected Senators following the completion of their term.

Section 4. Timing of Elections

- a. Unit elections of Elected Senators and Alternate Senators shall take place during the spring semester according to the procedures stated in Article IV, Section 5. The election process should be completed during the spring semester, but certainly no later than August 1st.
- b. The Faculty Senate is responsible for notifying in writing by March 15th the leadership of each Unit's faculty governance organization or Dean's Office of their responsibility for scheduling, conducting, and overseeing the election of Elected Senators and Alternate Senators from that Unit.

Section 5. Method of Elections

- a. Elected Senators: Elected Senators must be voting members of the Faculty as defined in Article IV, Section 2.a. The number of Alternate Senators to be elected by each Unit shall be in accordance with the *Standing Rules of the Faculty Senate*.
- b. Alternate Senators: Alternate Senators must be voting members of the Faculty as defined in Article IV, Section 2.a. The number of Alternate Senators to be elected by each Unit shall be in accordance with the *Standing Rules of the Faculty Senate*.
 - (i) Alternate Senators will be designated by the Unit as First Alternate, Second Alternate, Third Alternate, etc. based upon election results with the First Alternate receiving the most votes, the Second Alternate receiving the second most votes, and so forth.
 - (ii) If an Elected Senator's seat becomes vacant before the expiration of his/her term, the seat shall be filled for the remainder of the term by the highest designated Alternate Senator elected by that Elected Senator's Unit. The designated Alternate Senator will complete the full term of the replaced Elected Senator.
 - (iii) Upon notification by the Faculty Senate that a Unit's pool of Alternate Senators is diminished, the Dean of that Unit shall expeditiously direct the selection of replacement Alternate Senators in accordance with the procedures of that Unit.
- c. Nominations and Elections: Nominations of faculty to serve as Elected Senators and as Alternate Senators shall be made following the Unit's nominating procedures and in accordance with the following:
 - (i) The Unit Nominating Committee shall be composed of faculty eligible to vote as defined in Article III.
 - (ii) The Unit Nominating Committee shall solicit nominations throughout its Unit or from an open meeting of the Unit to which all members of a Unit's faculty have been invited at least two weeks in advance and at which nominations have been indicated to be an agenda item. The Nominating Committee itself may add nominations.

- (iii) The Unit Nominating Committee should notify potential nominees of the usual day and time of the Faculty Senate meetings and that Elected Senators are expected to represent their Unit at these monthly meetings from September through May.
- (iv) In accordance to the Unit's procedure for conducting elections, a secret ballot with the names of all the nominees who have accepted their nominations shall be distributed to all faculty eligible to vote as defined in Article III. Nominees are elected to open positions in descending order of votes received.
- (v) Units may have an election for Alternate Senators separately from the election for Elected Senators, or they may combine the election of Elected Senators and Alternate Senators. If the latter, after all open Elected Senator positions have been filled, nominees are elected to open Alternate Senator positions in descending order of votes received.
- (vi) The election results should be conveyed to the Faculty Senate within two weeks of the election, but certainly by August 15th.

Section 6. Meetings of the Faculty Senate

- a. Regular meetings shall be held monthly during the academic year (September through May), except that either the December or the January meeting may be omitted. The President of the Faculty Senate may call special meetings as needed.
- b. A quorum exists whenever more than 50% of the Voting Senators are present, and once in existence, continues to exist as long as at least 25% of the Voting Senators are present. Voting Senators are defined in Article IV. Section 2.c.
- c. Faculty members who are eligible for election to the Faculty Senate may attend its regular and special meetings without vote. Such members may participate in Faculty Senate discussion on a given agenda item only if they have received advance permission from the President of the Faculty Senate to speak on that item or if the President of the Faculty Senate requests that they provide information to the Faculty Senate on a specific issue.
- d. Faculty Senate meetings may be called at the discretion of the President of the Faculty Senate or upon written request of ten Voting Senators to the President of the Faculty Senate.

Section 7. Standing Rules of the Faculty Senate

- a. The Faculty Senate shall operate in accordance with the *Standing Rules of the Faculty Senate*.
- b. These rules may be amended or rescinded by a majority vote of the Faculty Senate if advance notice is given at the previous Faculty Senate meeting. If no such advance notice has been given, the *Standing Rules of the Faculty Senate* may be amended or rescinded by a two-thirds vote.

ARTICLE V: MEETINGS OF THE GENERAL FACULTY

Section 1. The President of Faculty Senate shall formally request that the President of the University convene the Faculty for a General Faculty Meeting annually for the purpose of reporting on the state of the University and receiving questions from the Faculty. This request shall be conveyed each year by the President of the Faculty Senate by October 1st.

Section 2. The President of the Faculty Senate shall convene a meeting of the General Faculty upon the written petition of 25 or more members of the Faculty.

Section 3. Parliamentary authority: *Robert's Rules of Order, Revised*, shall be the authority on all questions of parliamentary procedure not covered by the *Bylaws of the Faculty*.

ARTICLE VI: UNIT GOVERNANCE

The Faculty of each Unit of the University shall organize and establish in assembly, rules, and procedures for faculty participation in the governance of the Unit.

ARTICLE VII: REVIEW AND REVISION OF THE BYLAWS

Section 1. The Faculty Senate shall review and, if appropriate, propose revisions to these *Bylaws* every five years or as deemed appropriate by the Faculty Senate.

Section 2. On approval by its members, the Faculty Senate shall provide the proposed revised *Bylaws of the Faculty* to the Faculty for approval. Two weeks' notice of proposed revisions to the *Bylaws of the Faculty* must be provided to the Faculty before the votes are tallied.

Section 3. Revisions to these *Bylaws* shall be approved by two-thirds of those voting. Voting membership is defined in Article III.

Section 4. History

- a. The original *Bylaws of the Faculty* were ratified by a vote of the entire VCU Faculty in February 1970.
- b. The original *Bylaws of the Faculty* were approved by the University Assembly and were transmitted to the Board of Visitors by the incumbent president, Dr. Warren E. Brandt.
- c. The original *Bylaws of the Faculty* were approved unanimously by the Board of Visitors on July 23, 1970 including "that the Faculty Senate be established and recognized to represent the faculty in the areas of (its) responsibilities and concerns."
- d. Revised *Bylaws of the Faculty* were approved by the Faculty on March 12, 2004, and by the Board of Visitors on May 21, 2004.
- e. These revised *Bylaws of the Faculty* were last approved by the Faculty on April 2, 2018, and by the Board of Visitors on May ____, 2018.

**Board of Visitors Executive Summary
May 2018**

PRESENTATION TITLE: Audit, Integrity, and Compliance Committee Charter and Meeting Planner 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. The committee charter and meeting planner is updated annually in May. 2. The Audit, Integrity, and Compliance Committee will need to review and approve the charter.
Governance Implications	<ol style="list-style-type: none"> 1. Ensure that the committee charter accurately reflects the committee's duties and responsibilities. 2. Ensure that the committee is informed on relevant matters affecting audit and compliance, data integrity, and legal matters.
Governance Discussion Questions	<ol style="list-style-type: none"> 1. What are the potential risks associated with IT infrastructure and data governance? 2. Are there any significant audit risks for the committee to consider?
Next Steps for Management (Responsible Division Head; Timeframe for Action)	<ol style="list-style-type: none"> 1. Continue to maintain resources for a secure IT infrastructure that provides timely and useful information and data to the users, management, and the Board. 2. Continued support to the Enterprise Risk Management program.
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	<ol style="list-style-type: none"> 1. Receive reports from management on current efforts affecting data security and data integrity in institutional reporting. 2. Receive updates on audit and compliance services, ERM program, and legal matters.

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
- 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. Review and approve the Audit and Compliance Services budget and resource plan.
7. 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. 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 **and conformance with The Institute of Internal Auditors' (IIA) Definition of Internal Auditing, Core Principles, the IIA Code of Ethics and the International Standards for Professional Practice of Internal Auditing by inquiring and reviewing the assessment results of the internal and external Quality Assurance and Improvement Program.**
4. Review completed audit reports and progress reports on executing the approved work plan **and inquire of any other matters that require audit resources.**
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 **including data access roles and responsibilities**

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.

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.

G. 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.

H. Legal:

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

**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 the Audit and Compliance Services budget and resource plan.	X			X			
7. 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				
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	AN	Q1	Q2	Q3	Q4
				Sep	Dec	Mar	May
6. 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		
C. External Auditors							
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	X			X			
3. Assess the effectiveness of the internal audit function, including its independence and reporting relationships and conformance with the Definition of Internal Auditing, Core Principles, the IIA Code of Ethics and the International Standards for Professional Practice of Internal Auditing by inquiring and reviewing the assessment results of the internal and external Quality Assurance and Improvement Program	X				X		
4. Review completed audit reports and progress reports on executing the approved work plan and inquire of any other matters that require audit resources		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

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
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				
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 including data access roles and responsibilities 			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 including process and plans in place to assess conflict of interest management (inclusive of institutional and individual conflicts)		X		X	X	X	X

A = Annually; Q = Quarterly; AN = As Necessary	Frequency			Planned Timing			
	A	Q	AN	Q1	Q2	Q3	Q4
				Sep	Dec	Mar	May
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	X			X			X
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			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

**Board of Visitors Executive Summary
May 2018**

PRESENTATION TITLE: Proposed Audit Work Plan for FYs 2019-2021	
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. The proposed audit work plan was developed based on the COSO model for assessing risks, major business unit listing, university critical issues, Enterprise Risk Management considerations and the annual risk assessment. 2. We developed a three-year work plan after conducting an in-depth (deep dive) risk assessment. Risk considerations included financial impact, complexity of processes, changes in operations, time since last audit, number of employees and students, previous operational issues, enterprise risks, industry trends and reputational impact. Key stakeholders were interviewed to obtain their concerns and operational plans/changes. 3. Budgeted hours include risk-based audits, management requests, special projects and investigations. 4. Work plan is based on staff productivity for the funded staffing levels.
Governance Implications	Appropriate coverage of audit risk through the audit work plan with the resources provided.
Governance Discussion Questions	<ol style="list-style-type: none"> 1. Are there the necessary resources to complete the proposed work plan? 2. How were industry risks and the ERM program considered during the development of the work plan?
Next Steps for Management (Responsible Division Head; Timeframe for Action)	<p>Notify management responsible for areas in the audit work plan. Establish a schedule and assign personnel.</p> <ul style="list-style-type: none"> • University Deputy Director of Audit and Management Services (open position) • Courtney McGregor - Deputy Director of IT Audit
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	Monitor completion of work plan and approve changes as determined necessary.

**Virginia Commonwealth University
Audit and Management Services
Three-Year University Plan**

FUNCTIONAL AREA	FY 2019	FY 2020	FY 2021
Enrollment Services		Office of Strategic Enrollment Management (Advising, recruitment, and admission strategies)	Records and Registration
Office of Research	Office of Sponsored Programs		Education and Compliance
Human Resources	Human Resources – Terminations	Human Resources – Benefits Administration	Human Resources – Compensation and Classification
Finance/ Administration	Payroll Equity and Access Services Development and Alumni Relations Safety and Risk Management – OEHS President’s Office	Technology Services/VCU Card* VP for Inclusive Excellence Budget and Resource Analysis Public Safety and Security Engineering and Utilities	Physical Plant and FMD Administration Procurement and Payment – Purchasing Grants and Contract Accounting
Auxiliary Enterprises	Residential Life and Housing	Dining Services	Parking and Transportation Services
Academic Units Monroe Park	School of the Arts* Global Education	School of Social Work	College of Humanities and Sciences School of Education
Health Sciences	School of Medicine – Internal Medicine (Cardiology)**	School of Medicine – Dermatology** School of Dentistry School of Pharmacy	School of Medicine – Anesthesiology** School of Nursing
Centers and Institutes	Enterprise Center and Institute Management (carryover from FY 2018)		Massey Cancer Center*
Athletics	Year 3 NCAA Compliance Review Governance and Organization Extra Benefits – Athletic Apparel Rules Compliance	Siegel Center Operations	Year 1 NCAA Compliance Review Eligibility Extra Benefits Student Athlete Employment

* Integrated audit between university and IT

** Consolidated audit between university and health system

**Virginia Commonwealth University
Audit and Management Services
Three-Year University Plan**

FUNCTIONAL AREA	FY 2019	FY 2020	FY 2021
Enterprise Process Audits	Student Fees and Expenditures	Degree Conference and Award	Social Media
Information Technology	IT Network Management and Security IT Asset Management and Security VCU Jobs/Cornerstone Application Systems School of Art Technology* Web Services and Application Security (Special Project)	Authentication Systems VCU Card and Badge Services/Cash_ Register PCI-DSS Management Office of Research and Innovation Technology Technology Services Risk Assessment (Special Project)	VCU Alert Systems Security IT Access Management and Security Integrated Systems/ERP Health Sciences/Massey Cancer Center** IT Strategic Management (MIT) (Special Project)

* Integrated audit between university and IT

** Consolidated audit between university and health system

**Virginia Commonwealth University
University Audit and Management Services
Proposed Audit Plan
July 1, 2018 - June 30, 2019**

RISK-BASED AUDITS:

Office of Sponsored Programs	365	
Payroll	400	
Human Resources - Terminations	275	
School of Medicine - Cardiology**	365	
Enterprise Centers and Institutes (Carryover from FY2018)	400	
Student Fees and Expenditures	365	
Equity and Access Services	400	
Development and Alumni Relations	400	
Safety and Risk Management (OEHS)	365	
Residential Life and Housing	365	
School of the Arts*	650	
Global Education	400	
Web Services and Application Security	390	
IT Network Management and Security	370	
IT VCU Jobs/Cornerstone Application Systems	370	
IT Asset Management and Security	370	
	<hr/>	
Subtotal		6,250

ANNUAL AUDITS/PROJECTS:

Athletics-Year 3-NCAA Compliance Review	250	
Follow-Ups on Audit Recommendations Outstanding	350	
President's Office Review	250	
Data Analytics/Continuous Monitoring	350	
Prior Year Audit Carryover	500	
Risk Assessment	180	
	<hr/>	
Subtotal		1,880

OTHER PROJECTS:

Investigations and Management Requests	1,100	
Other Management Services	750	
Workpaper System Administration	200	
	<hr/>	
		2,050
		<hr/>
TOTAL		10,180
		<hr/> <hr/>

**Board of Visitors Executive Summary
May 2018**

PRESENTATION TITLE: Proposed FY 2019 University Ethics and Compliance Program Initiatives	
Presenter Name and Title: Jacqueline Kniska, University Integrity and Compliance Officer	
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	<p>Each year, annual initiatives to be accomplished within the fiscal year are set in collaboration with the Executive Director and university compliance partners.</p> <p>The planned initiatives continue to play an integral role in the university's overall risk assessment and mitigation process.</p> <p>The Compliance and Ethics Program provides advisory resources to all departments and reporting mechanisms for the university community.</p>
Governance Implications	This is informational in nature and reflects available resources, priorities, and assurances that administration is actively engaged in addressing identified ethical and compliance related needs.
Governance Discussion Questions	<ol style="list-style-type: none"> 1. Are there any risks that the Board should be paying closer attention to relative to these initiatives? 2. Does the Board or the Audit, Integrity, and Compliance Committee need to be aware of, or provide any information to implement these initiatives? 3. Are there sufficient resources to continue this process as outlined? 4. Do you receive necessary cooperation and assistance from university administration to meet expectations?
Next Steps for Management (Responsible Division Head; Timeframe for Action)	Continued support in addressing any identified issues, specifically in creation and maintenance of universitywide policies.
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	Continued support in the Ethics and Compliance Program initiatives and addressing identified issues.

FY 2019 Ethics and Compliance Program Risk Based 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. Continually playing 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 stakeholders helping progression and monitoring of ethics and compliance based activities. Based on providing these services throughout FY 2018, the initiatives for FY 2019 reflect a balance of capacity, prioritization and where a devotion of additional resources is necessary to address, or continue, assurance of compliance requirements; ethical behaviors; and overall institutional integrity. Most of the topics 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 Visitors as the university's governing authority.

Each year, initiatives are selected, or mature, in order to reduce wrongdoing, increase the likelihood that when wrongdoing does occur it will be made known to management and increase the likelihood that VCU will responsibly handle suspected and substantiated wrongdoing, thus preserving the public's trust and the integrity and reputation of a responsible university.

Note: These activities involve a collaborative approach with appropriate Ethics and Compliance Partners and other key stakeholders.

FY 2019 Initiatives:

Continue providing the BOV and Senior Leadership (as applicable) timely reports of successes; efficiencies; challenges; obstacles; and violations of ethics and compliance matters. Consider formal resolutions for program requirements and organizational need.

Effectiveness Review of Ethics and Compliance Program

- Conduct internal assessment and prepare for formal review
- Undergo RFP or BVA process; select appropriate 3rd party vendor
 - Explore option to add a peer review to the process
- Undergo Effectiveness Review
- Report Findings to BOV, Cabinet, Compliance Advisory Committee, Enterprise Risk Management Committee, internal ACS, ICO staff and other key stakeholders

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 data for appropriate comparisons

Code of Conduct Enhancements

- Complete review of document with interdisciplinary taskforce; Compliance Advisory Committee; other key stakeholders; and universitywide community – includes upgrading content delivery from text only to interactive and embedded video messaging items
- Complete governance track for *Ethical Standards* (basis of the Code of Conduct) policy draft approval

Conflicts of Interest and Commitment – Individual and Institutional: Enhancements are needed regarding proactive risk identification and management; in particular, compliance with more than 10 federal regulations, accreditation standards, and best practices in organizational governance and ethics and compliance industries. Utilization of an enhanced process of interest reporting contributes to both the Board and the departmental charter compliance by providing required assurances to the Audit, Integrity & Compliance Committee of the BOV.

- Obtain final stakeholder feedback and complete governance track for policy draft approval
- Fully implement policy and software solution for reporting and managing conflicts
 - 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 support in responding to inquiries related to proactive avoidance regarding institutional conflicts and conflicts of commitment

Employee Ethics and Compliance Education

- Execution of Annual Employee Compliance Education – includes reflexive content based on initial assessment of knowledge base accompanied by role and duration of employment
- Execution of high profile events during National Ethics & Compliance Week scheduled for November 2018 offered to employees and students
- Continued participation in New Employee Orientations and New Chair Training / Development and other custom requests to individual units

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 (risk based reports) of respective Cabinet Member areas (to include federal regulatory compliance; policy compliance and accuracy; reported concerns outcomes and trends – with focus on civility and professionalism; offer of customized training to areas based on needs/desires
- Create plan and establish priorities to assess state of compliance with state code requirements

Government Relations Non-Routine Visits: Continued independent oversight and support to university community in preparation for, and in response to, regulator inquiries, reviews and investigations

Policy Program – for all universitywide policies

- Continue providing 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
 - 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: annual Policy Writers' Workshop and other training sessions as needed

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

- Participation and leadership provided to over 15 universitywide committees and taskforces
- Active memberships and participation with external groups – Society of Corporate Compliance and Ethics – Higher Education Section and General Section; Ethics and Compliance Initiative; Association of College and University Policy Administrators
- The commitment to internal staff development remains as well as support for maintaining current industry certifications.
- 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
- State Regulatory Coordinator (liaison to Commonwealth for VCU)
- Agency Coordinator for Conflict of Interest Disclosures to the Commonwealth
- Continued tracking of Office of Inspector General's Annual Work Plan and the Summary of Audits Settlements and Investigations related to Federal Programs for topics affecting the university

As a reminder, this committee will be receiving the Integrity and Compliance Annual Report at the September 2018 Meeting.

The anticipated effect of providing the fiscal year Program Initiatives at the May Meeting, and the Annual Report at the September Meeting, is to assure existing mechanisms keep this committee abreast of efforts demonstrating effectiveness of the Ethics and Compliance Program.

This committee is the appropriate authority to oversee the Ethics and Compliance Program's effectiveness efforts. 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.

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

**AUTHORIZATION FOR PRESIDENT TO RETIRE and REMOVE
DEMONSTRATIONS REGULATION in VIRGINIA CODE**

WHEREAS, the Board of Visitors of Virginia Commonwealth University (the “BOV”) or its designee possess authority to “[m]ake regulations and policies concerning the institution” under §23.1-1301 of the Code of Virginia;

WHEREAS, the BOV promulgated 8 VAC 90-30 *Guidelines for Demonstrations on the Campuses of Virginia Commonwealth University* in 1995;

WHEREAS, the BOV takes formal action to repeal a regulation under the Virginia Register Act, §§2.2-4100, *et seq.*; and

WHEREAS, the BOV desires to repeal 8 VAC 90-30 because it is significantly outdated and ineffectual, and has been rendered obsolete with the recently approved universitywide policy *Reservation and Use of Space*.

NOW, THEREFORE, be it resolved by the Board of Visitors of Virginia Commonwealth University as follows:

1. 8 VAC 90-30 *Guidelines for Demonstrations on the Campuses of Virginia Commonwealth University* is hereby repealed.
2. The President or his designee may proceed with the removal of the 8 VAC 90-30 *Guidelines for Demonstrations on the Campuses of Virginia Commonwealth* from the university’s policy library.
3. The repeal will be effective upon receipt by the Virginia Registrar of Regulations.