



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

BOARD MEMBERS PRESENT

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

BOARD MEMBERS ABSENT

Mr. Alexander B. McMurtrie, Jr.

OTHERS PRESENT

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

CALL TO ORDER

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

APPROVAL OF THE AGENDA

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

APPROVAL OF MINUTES

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

PRESIDENT'S REPORT

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

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

DIVERSITY AND INCLUSION STRATEGIC ACTION PLAN PRESENTATION

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

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

HUMAN RESOURCES REDESIGN PRESENTATION

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

REPORT OF THE ACADEMIC AND HEALTH AFFAIRS COMMITTEE

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

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

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

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

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

REPORT OF THE AUDIT, INTEGRITY AND COMPLIANCE COMMITTEE

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

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

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

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

REPORT OF THE FINANCE, BUDGET AND INVESTMENT COMMITTEE

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

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

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

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

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

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

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

REPORT OF THE GOVERNANCE AND COMPENSATION COMMITTEE

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

REPORT OF THE UNIVERSITY RESOURCES COMMITTEE

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

- **Government Relations**

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

- **University Relations**

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

- **Development and Alumni Relations**

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

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

CLOSED SESSION

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

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

RECONVENED SESSION

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

Resolution of Certification

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

Vote

Ayes

Nays

Mr. John A. Luke, Jr., Rector

X

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

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

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

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

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

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

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

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

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

ADJOURNMENT

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



ATTACHMENT A

Diversity and Inclusion Strategic Action Plan

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

Associate Vice President, Division for Inclusive Excellence

May 12, 2017



Plan Development

Strategic plan modifications and campus-wide presentations

Climate study analysis

Posted for public comment

President's Forum on Social Justice

Diversity Cafes on both campuses

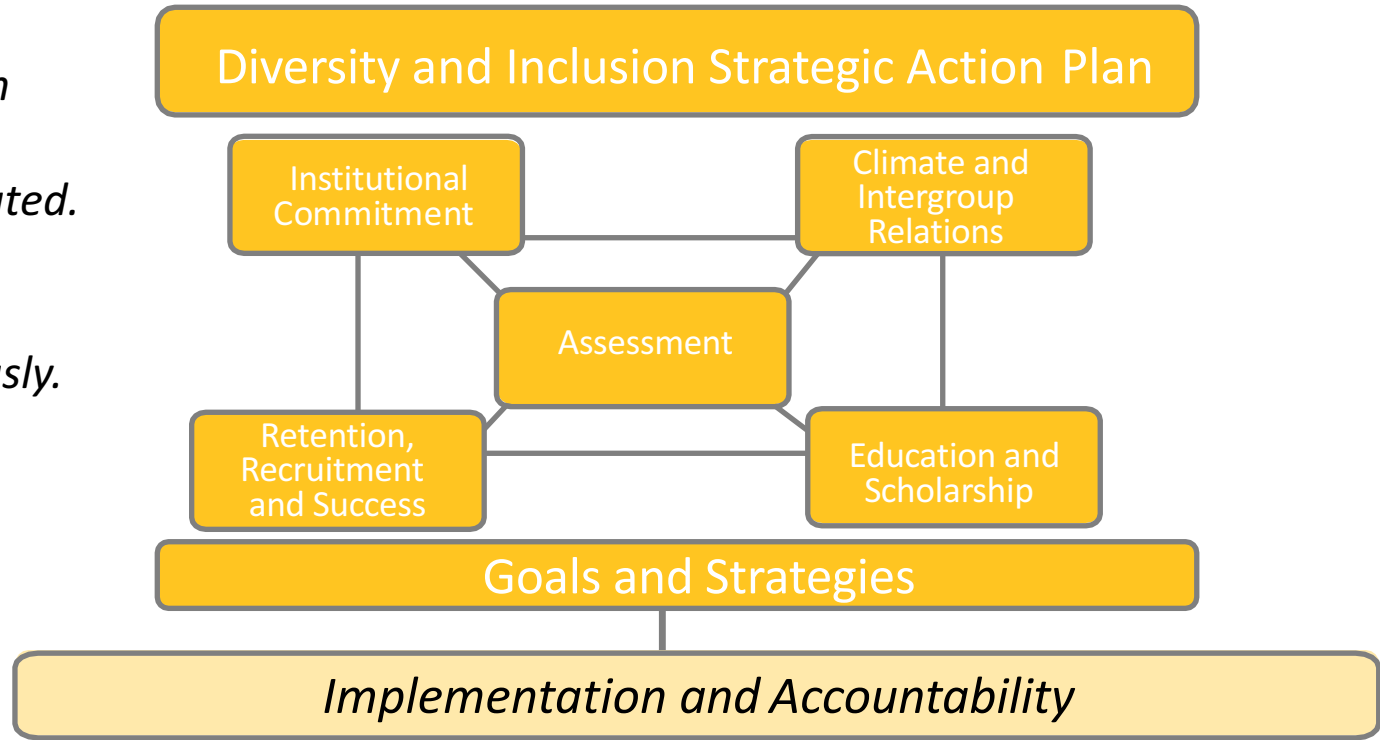
Meetings with stakeholder groups

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

Division for Inclusive Excellence strategic plan with CIEE

Diversity and Inclusion Strategic Action

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



Diversity and Inclusion Strategic Action Plan Goals

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

Progress and Assessment

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

Implementation

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

ATTACHMENT B

Item

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

Background

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

Purpose

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

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

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

Recommendation

Full board approval.

2017 – 2022

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

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



VCU

Contents

4 Executive Summary	8 Introduction	10 VCU’s Commitment to Inclusive Excellence
13 Overview of the VCU Diversity and Inclusion Strategic Action Plan	16 Plan of Action - Thematic Areas	16 Institutional Commitment
19 Climate and Intergroup Relations	22 Recruitment, Retention and Success	29 Education, Scholarship and Research
32 Assessment Process	35 Next Steps and Concluding Reflections	37 CIEE Membership
38 References Consulted	39 Historical Sketches	42 Glossary

Executive Summary

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

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

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

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

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

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

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| Provide clear, cohesive and comprehensive communication regarding diversity, inclusion and equity to all university stakeholders. | Build and sustain the infrastructure to enhance diversity, inclusion and equity at all levels of the university to support teaching, research, scholarship, creative expression and service. | Provide resource supports for diversity and inclusion initiatives aligned to strengthen our university's academic mission of teaching, re-search scholarship, creative expression and service. | Ensure account-ability for the implementation of the Diversity and Inclusion Strategic Action Plan at all institutional levels and across all constituencies. |
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2. Climate and Intergroup Relations: Create and sustain a welcoming climate of inclusion where individuals of differing cultural backgrounds, identities, abilities and life experiences are welcomed, valued and supported in their learning, working and living.

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| Create and sustain a climate where all members of the VCU community from diverse backgrounds feel welcome and part of a university-wide community. | Create and maintain a living, learning and working environment where everyone feels respected, supported and valued, and where everyone has agency and voice. | Create and maintain a living, learning and working environment characterized by respect, support, where people of diverse backgrounds share experiences. | Ensure that the buildings and facilities are welcoming and accessible for all people and cultures, and, where feasible, are arranged to facilitate cross-cultural interaction. |
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3. Recruitment, Retention and Success: Intentionally attract and retain a diverse faculty, staff and student body, with reflective and deliberate attention to community needs. Implement strategies for enhancing recruitment, retention and success.

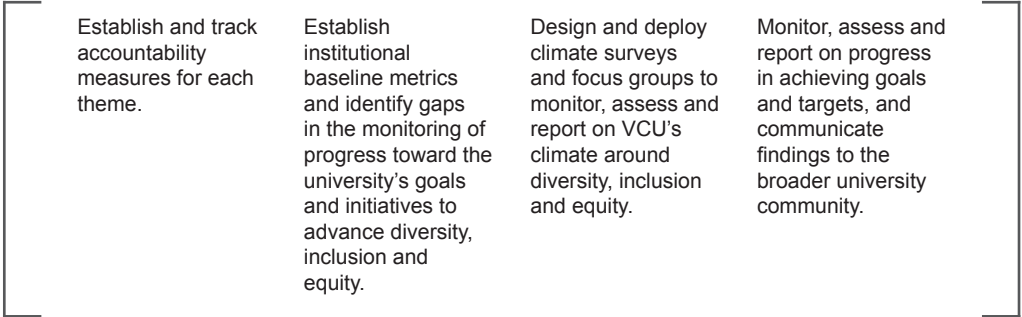
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| Enroll, retain, support and graduate a diverse undergraduate, graduate and professional student body. | Proactively attract, recruit, support and retain a diverse faculty and staff population who have voice and agency in helping to shape the Great Place Culture we seek. |
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4. Education, Scholarship and Research: Provide rich teaching, learning, research, schol-arly, creative and service experiences to prepare all students for global citizenship. Support faculty, staff and student research, scholarship and creative expression that address diversity and inclusion issues in disciplinary and interdisciplinary fields.

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| Increase the proactive, ongoing university support of research, scholarship and creative expression addressing diversity and inclusion issues in disciplinary and interdisciplinary fields, including those initiatives that harness the benefits of diversity in areas not traditionally viewed through a diversity lens. | Increase and assess diversity-rich learning curricular and co-curricular experiences that raise students' critical self-awareness and cultural competency, increase understanding of global diversity, and encourage engagement in the greater community. | Develop comprehensive resources for faculty to learn, use and evaluate inclusive teaching practices that foster communication, collaboration and relationship building across differences, and support curricular transformations that are reflective of this type of education, research and scholarship. |
|--|---|--|



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



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

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

– William Merritt Chase

Introduction

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

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

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

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

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

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

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

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

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

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

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

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

VCU’s Commitment to Inclusive Excellence

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

– Michael Rao, President of VCU and VCUHS

Overview of the VCU Diversity and Inclusion Strategic Action Plan

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

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

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

- Envision how the council can best support the university’s goal of making excellence inclusive at VCU.
- Clarify the role of the council’s goals for their work, related organizational structure and next steps.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

⁸ E.g., 2016 LGBTQ Task Force Report.



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

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

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

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

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

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

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

Goal Two: Continued..

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

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

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

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

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

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

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

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

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

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

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

Goal One: Continued..

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

Goal One: Continued..

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

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

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

Goal Two: Continued..

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

Goal Two: Continued..

Initiatives and Actions	Measurement and Timeframe	Responsible Unit/ Process Owner
Provide mentoring and professional development supports for all junior faculty members to support their career progression, ensuring access by all faculty members and programming that is inclusive and culturally informed.	Goal and Metrics: Percentage of junior faculty engaged in mentoring and/or professional development NOTE: Establish baseline and then determine goals and metrics Timeframe: 2017–2018: Programs are implemented and junior faculty are enrolled	iCubed
Report annually on comprehensive hiring, retention, promotion and attrition demographic data. ⁵ Ensure appropriate accountability in the development of candidate pools that are reflective of the diversity of the profession.	Measurement: Annual reporting of demographic data on faculty and staff, searches, hiring, promotion, retention and attrition – 10/30/2017 Development of toolkit and training to educate search committees and hiring managers on inclusive hiring practices – fall 2018 Number of persons completing training and departments represented Goal and Metrics: Candidate pools consistently reflect the diversity of the profession Percentage of trained search committee members and hiring managers familiar with inclusive hiring practices NOTE: Establish baseline and then determine goals and metrics Percentage of people completing training from each school and department NOTE: Establish baseline and then determine goals and metrics Timeframe: Fall 2017: Training on inclusive hiring processes offered October 2017: Annual reporting of diversity data on faculty and staff searches Fall 2018: Development of toolkit and training on inclusive recruitment practices ⁶	HR OPDS OFRR Schools and departments EAS

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

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

Goal Two: Continued..

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

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

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

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

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

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

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

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

Goal Three: Continued..

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

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

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

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

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

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

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



Next Steps and Concluding Reflections

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

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

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



Members of the Council for Inclusive Excellence and Equity

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

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President, Faculty Senate; Associate Professor,
Department of Fashion Design

Marianne Baernholdt, Ph.D.
Director, Langston Center for Quality, Safety and
Innovation

Leslie Brown
Director, Budget and Resource Analysis,
Finance and Administration

Cathleen Burke
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Tim L. Davey, Ph.D.
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Sybil Halloran, Ph.D.
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Rosalyn Hobson Hargraves, Ph.D.
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We are thankful to the following persons for their contributions to the planning and review process: Tammy Jackson, PMG at VCU, DeAudrea Rich, and others.

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Historical Sketch

Progress of Diversity at VCU

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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



Glossary

Key Concepts

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

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

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

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

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

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

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

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

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

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

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

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

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

HR Redesign Project

ATTACHMENT D

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

PROGRAMATIC

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

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

STRATEGIC

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

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

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

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

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

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

Board
Report
May 2017

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

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

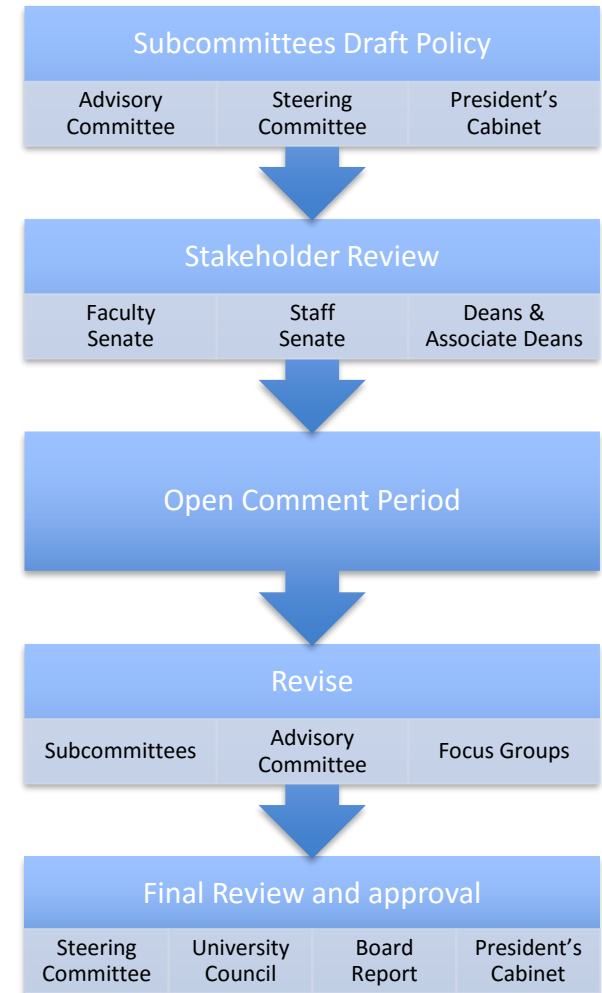
Review
Revise
Refine
4/1/18-

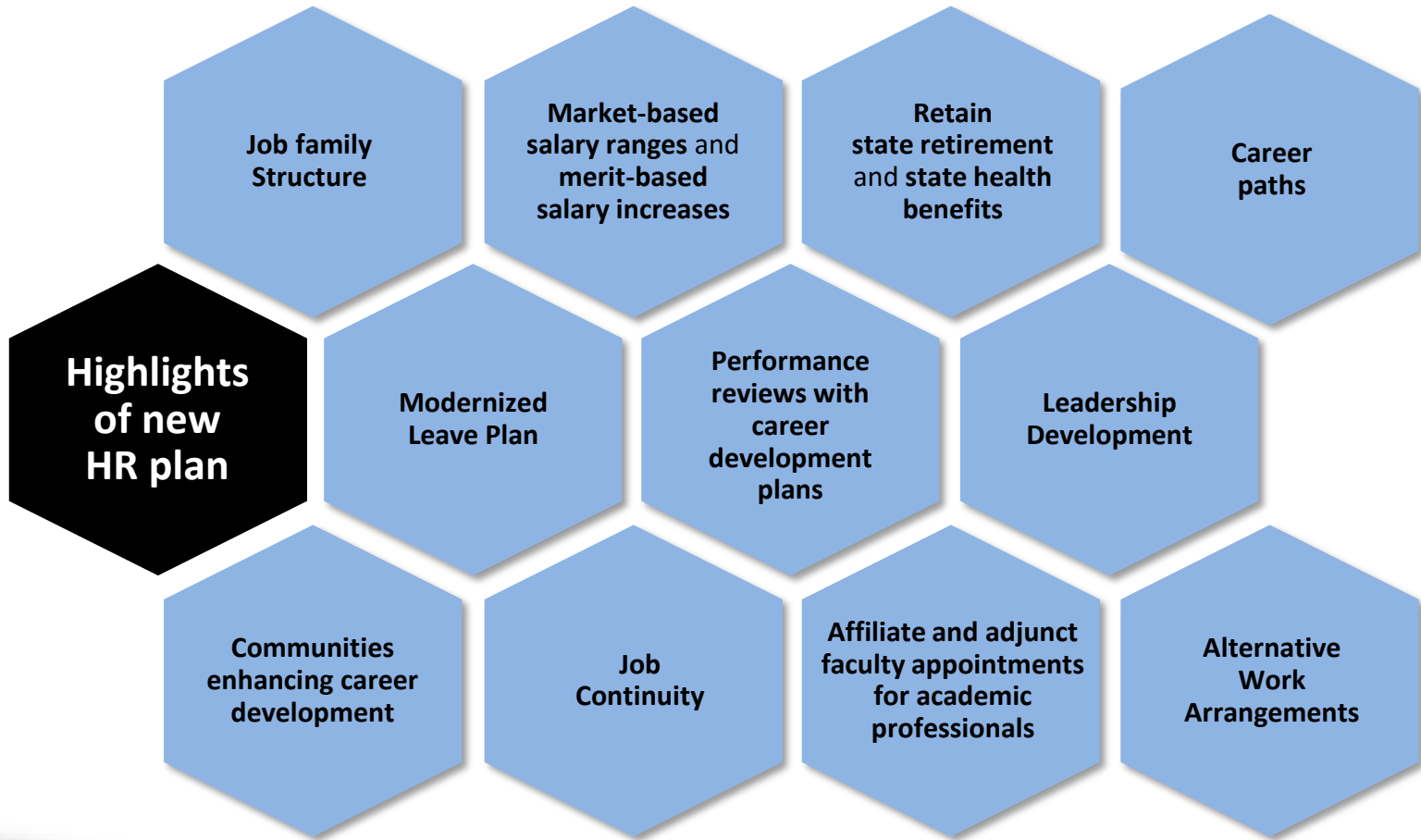
Plan, Communicate, Engage 4/1/16-3/31/18

Open Comment Period

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

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





Implementation

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



VCU

the
Great Place
HR REDESIGN

ATTACHMENT E

HR Redesign Summary Report

May 2017

Background

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

A Brief History

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

Policy overview

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

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

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

Feedback

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

Next steps

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

Implementation

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

Automatic enrollment for new classified staff

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

The option to stay classified staff

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

Options for A&P faculty

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

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

ATTACHMENT F

Virginia Commonwealth University
Board of Visitors
Academic and Health Affairs Committee
Proposed Program Brief

Proposal to create a new Ph.D. in Chemical and Life Science Engineering

Overview

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

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

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

Method of Delivery

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

Target Implementation Date

Fall 2018

Demand and Workforce Needs

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

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

External Competition

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

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

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

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

Target Population

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

Impact on Existing Programs

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

Impact on Faculty

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

Funding

Additional funding is not required.

Benefit to the university

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

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

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

Next Steps

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

Full Proposal

Available upon request.

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

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

⁵ <http://www.quest.vcu.edu/>

ATTACHMENT G

**Virginia Commonwealth University
Board of Visitors
Academic and Health Affairs Committee
Proposed Program Brief**

Proposal to create a new Ph.D. in Pharmaceutical Engineering

Overview

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

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

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

Method of Delivery

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

Target Implementation Date

Fall 2018

Demand and Workforce Impact

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

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

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

² Labor Insight™ | Burning Glass Technologies, October 2016

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

External Competition

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

Target Population

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

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

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

Impact on Existing Programs

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

Impact on Faculty

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

Funding

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

Benefit to the University

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

Next Steps

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

Full Proposal - Available upon request.

ATTACHMENT H

VIRGINIA COMMONWEALTH UNIVERSITY BOARD OF VISITORS

AUDIT, INTEGRITY, AND COMPLIANCE COMMITTEE CHARTER

I. PURPOSE

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

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

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

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

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

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

II. COMPOSITION AND INDEPENDENCE

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

III. MEETINGS

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

IV. RESPONSIBILITIES

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

A. General:

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

B. Internal Controls/Financial Statements:

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

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

C. External Auditors:

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

D. Internal Auditors:

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

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

E. Data Integrity:

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

F. University Ethics and Compliance Program:

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

H. Enterprise Risk Management

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

I. Legal:

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

ATTACHMENT I
Virginia Commonwealth University
Board of Visitors

Audit, Integrity and Compliance Committee Meeting Planner

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

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

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

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

ATTACHMENT J

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

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

COSO Internal Control and Enterprise Risk Management (ERM) Frameworks

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

Significant Work Plan Audit Considerations

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

Three-Year Audit Plan

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

Annual Audit Work Plan

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

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

RISK-BASED AUDITS:

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

ANNUAL AUDITS:

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

OTHER PROJECTS:

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

* Integrated with IT Audit

** Consolidated with Health System Audit



FY 2018 Ethics and Compliance Program Initiatives

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

FY 2018 Initiatives:

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

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

Employee Ethics and Compliance Education

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

Code of Conduct Enhancements

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

Conflicts of Interest

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

Ethics

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

Gap and Risk Assessment Activities

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

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

Monitoring Specifics

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

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

Infrastructure Enhancements for Maximum Efficiency

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

Internal Staff Development

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

Policy Program – for all universitywide policies

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

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

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

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

ATTACHMENT L

Proposed 2017-18 Tuition and Fees and University Budget Plan

Karol Kain Gray, VP for Finance and Budget
May 12, 2017



Table of Contents

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

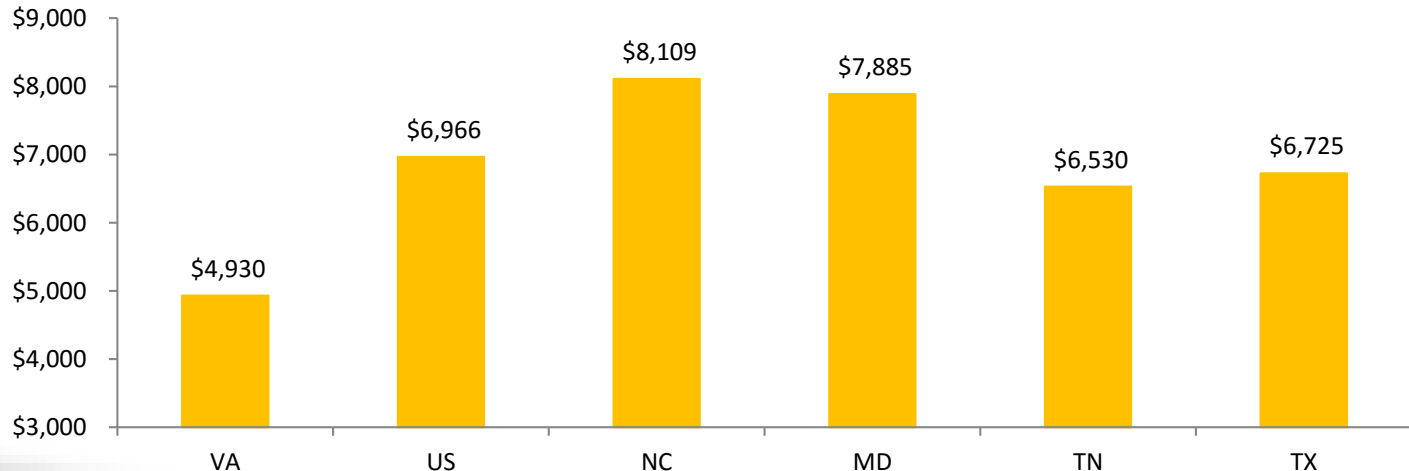
Summary of Recommended Tuition and Fees – FY 2018

(See University Budget Plan FY2018 page III-1)

Virginia's colleges receive low state support

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

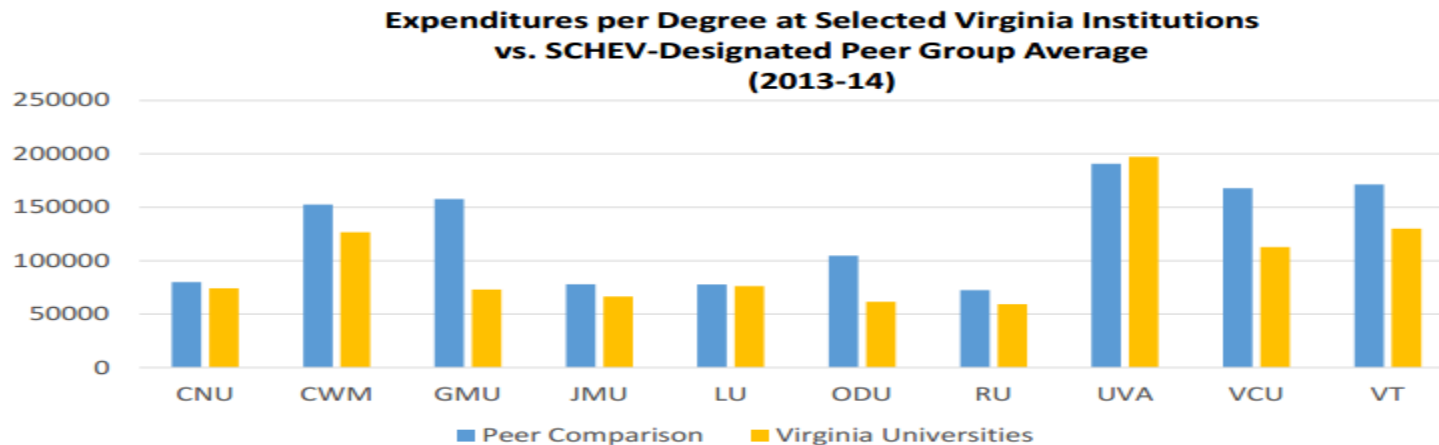
2015 state support per FTE student



Source: National Center for Higher Education Management Systems

Virginia's colleges are efficient compared to peers

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



Source: National Center for Higher Education Management Systems.

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

FY 2018 Education & General Costs & Funding Sources

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

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

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

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

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

Total: **\$8.8M**

FY 2018 Overview

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

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

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

Proposed FY 2018 Tuition Increase

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

FY 2018 Proposed Tuition Revenue

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

Proposed FY 2018 Projected Expenses

Preliminary Funding Gap

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

Proposed FY 2018 Budget Reductions

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

Total Funding Gap

19,055 19,055 19,055 19,055 19,055 19,055 19,055

Budget Cuts

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

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

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

Summary of Recommended Tuition & Fees – FY 2018

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

Summary of Mandatory E&G and Auxiliary Fee Recommendations

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

Tuition & Fees Recommendations for FY 2018

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

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

Budget Cuts in FY 2018

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

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

All Funds FY 2017-18 Budget

(See University Budget Plan FY2018 page I-8)

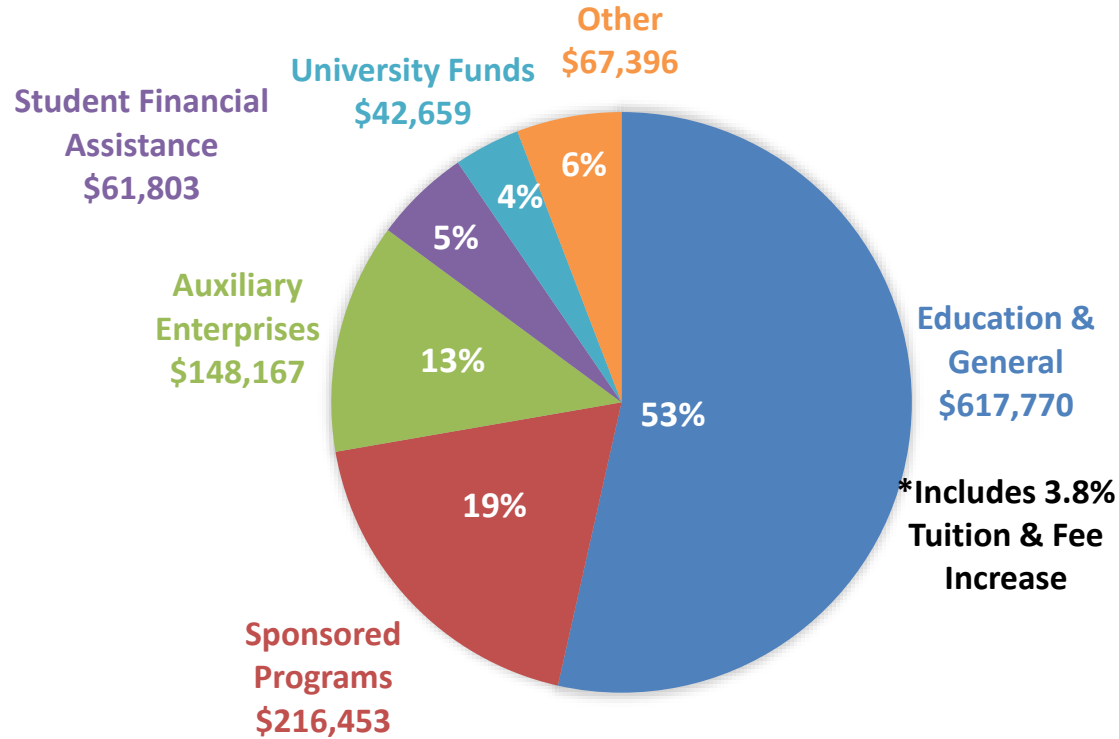
Virginia Commonwealth University
FY 2017-2018 University Budget Plan
Sources and Uses Summary
(in thousands)

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

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

All Funds FY 2017-18 Budget (1.2 Billion)

(In Millions)



Educational and General Programs

(See University Budget Plan FY2018 page II-1)

Educational and General (E&G) Programs

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

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

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

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

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

Sponsored Programs

(See University Budget Plan FY2018 page II-7)

Sponsored Programs

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

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

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

Facilities and Administrative Cost Recoveries

(See University Budget Plan FY2018 page II-8)

Facilities and Administrative Cost Recoveries

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

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

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

Auxiliary Enterprises

(See University Budget Plan FY2018 page II-13)

Auxiliary Enterprises

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

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

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

University Funds

(See University Budget Plan FY2018 page II-17)

University Funds

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

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

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

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


Student Financial Assistance

(See University Budget Plan FY2018 page II-21)

Student Financial Assistance

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

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

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

Hospital Services

(See University Budget Plan FY2018 page II-25)

Hospital Services

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

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

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

Questions