



**FLORIDA INTERNATIONAL UNIVERSITY**  
**BOARD OF TRUSTEES**  
**GOVERNANCE COMMITTEE**

Thursday, September 1, 2016  
12:30 p.m. *\*approximate start time*  
Florida International University  
Modesto A. Maidique Campus  
Graham Center Ballrooms

**Committee Membership:**

Claudia Puig, *Board Chair*; Jorge L. Arrizurieta, *Board Vice Chair*; Cesar L. Alvarez; Jose J. Armas;  
Gerald C. Grant, Jr.

**AGENDA**

1. Call to Order and Chair's Remarks Claudia Puig
2. Approval of Minutes Claudia Puig
3. Action Items
  - G1. 2016 Florida Educational Equity Act Report Shirlyon J. McWhorter
  - G2. Amendment to Direct Support Organizations Regulation, FIU-1502 Carlos B. Castillo
4. Discussion Item
  - 4.1 Creation of Separate Audit and Compliance Committee Carlos B. Castillo
5. New Business *(If Any)* Claudia Puig
6. Concluding Remarks and Adjournment Claudia Puig

*The next Governance Committee Meeting is scheduled for Thursday, December 1, 2016*

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*Approval of Minutes*

**Governance Committee Meeting**

Date: September 1, 2016

**Subject: Approval of Minutes of Meetings held: May 4, 2016 and June 2, 2016**

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**Proposed Committee Action:**

Approval of Minutes of the Governance Committee meetings held on Wednesday, May 4, 2016 via conference call; and Thursday, June 2, 2016 at the Modesto A. Maidique Campus, Patricia & Phillip Frost Art Museum, room 105-107.

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**Background Information:**

Committee members will review and approve the Minutes of the Governance Committee meetings held on Wednesday, May 4, 2016 via conference call; and Thursday, June 2, 2016 at the Modesto A. Maidique Campus, Patricia & Phillip Frost Art Museum, room 105-107.

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**FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
GOVERNANCE COMMITTEE  
MINUTES  
MAY 4, 2016**

**1. Call to Order and Chair's Remarks**

The Florida International University Board of Trustees' Governance Committee meeting was called to order by Board Chair Claudia Puig on Wednesday, May 4, 2016 at 10:35 a.m., via conference call.

The following attendance was recorded:

**Present:**

Claudia Puig, *Board Chair*  
Jorge L. Arrizurieta, *Vice Chair*  
Cesar L. Alvarez  
Jose J. Armas  
Gerald C. Grant, Jr.

Trustee Marc D. Sarnoff and University President Mark B. Rosenberg also participated in the meeting.

Board Chair Puig noted that the Board's Governance Committee has and may exercise all powers and authority of the Board on an as needed basis between regular Board meetings for time-sensitive matters, subject only to such restrictions or limitations that are specified in the Board's Bylaws. She added that all actions taken by the Governance Committee will be reported at the next Board of Trustees meeting, which she stated is scheduled for June 2, 2016.

**2. Action Item**

**G1. Honorary Degree Nomination**

Provost and Executive Vice President Kenneth G. Furton presented the Honorary Degree Nomination for Committee review and approval, noting that after a rigorous review process the Faculty Senate recommended Ms. Marcia Jo Zerivitz as a recipient of a doctoral degree from the University. Provost Furton stated that Ms. Zerivitz is the founding director of the Jewish Museum of Florida. He noted that Ms. Zerivitz is recognized as a significant figure in Jewish American History and in the museum world. Additionally, Provost Furton noted that the work done by Ms. Zerivitz is consistent with FIU's values and standards and that her contributions to the State of Florida are significant.

Trustee Jorge L. Arrizurieta inquired as to the recommendation process for honorary doctoral degree candidates. Provost Furton noted that nominations for honorary doctorates may be made by any member of the University community or by the general public.

Trustee Marc D. Sarnoff inquired as to the established criteria for the Board's approval of honorary degrees and as to whether the nominee had undergone a background investigation. Professor Emeritus Stephen M. Fain provided an overview of the Faculty Senate's review process, noting that the criteria is not predetermined but rather inclusive of a process whereby the candidate must meet the standards and values that are consistent with the academic and administrative levels of the University. Dr. Fain noted that while a criminal background investigation was not conducted, the Faculty Senate undergoes a thorough and extensive review of the nominee's academic and professional work. University President Mark B. Rosenberg stated that while background investigations have not been established by the Board as parameters for the performance criteria, they can be included as part of the process moving forward.

Trustees engaged in a substantive discussion on the honorary degree review and approval process. Board Chair Puig requested that the University administration refer to best practices as it pertains to establishing criteria for which honorary degrees may be conferred. Trustees discussed the benefit of conducting background checks as part of a thorough review of honorary degree nominees in order to determine if there are any negative associations with the potential candidates.

Provost Furton stated that Ms. Zerivitz is personally known to him and Dr. Fain, adding that she has a reputation of integrity and has made major contributions to the community.

A motion was made and passed that the FIU Board of Trustees Governance Committee conditionally endorse Ms. Marcia Jo Zerivitz as a recipient of a doctoral degree *honoris causa* from Florida International University contingent upon a successful background check and that a criteria for vetting honorary degrees candidates, which includes criminal background investigations, be presented to the Board for review.

### **3. New Business**

No new business was raised.

### **4. Concluding Remarks and Adjournment**

With no other business, Board Chair Claudia Puig adjourned the meeting of the Florida International University Board of Trustees' Governance Committee on Wednesday, May 4, 2016 at 11:28 a.m.

*There were no Trustee requests.*

MB  
5.17.16



**FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
GOVERNANCE COMMITTEE  
MINUTES  
JUNE 2, 2016**

**1. Call to Order and Chair's Remarks**

The Florida International University Board of Trustees' Governance Committee meeting was called to order by Board Chair Claudia Puig on Thursday, June 2, 2016 at 12:40 p.m. at the Modesto A. Maidique Campus, Patricia & Phillip Frost Art Museum, room 105-107.

The following attendance was recorded:

***Present:***

Claudia Puig, *Board Chair*  
Jorge L. Arrizurieta, *Board Vice Chair*  
Jose J. Armas  
Gerald C. Grant, Jr.

***Excused:***

Cesar L. Alvarez

Trustees Leonard Boord, Alian Collazo, Natasha Lowell, Marc D. Sarnoff, and Kathleen L. Wilson and University President Mark B. Rosenberg were also in attendance.

**2. Approval of Minutes**

Board Chair Puig asked if there were any additions or corrections to the minutes of the Wednesday, February 10, 2016 and Friday, March 11, 2016 Governance Committee meetings. A motion was made and passed to approve the minutes of the Governance Committee meetings held on February 10, 2016 and March 11, 2016.

**3. Action Items**

**G1. 2016-17 University Work Plan**

Provost and Executive Vice President Kenneth G. Furton provided a detailed overview of the 2016 University Work Plan. He noted that all State University System institutions must submit their work plans to the Florida Board of Governors (BOG), fully vetted by their respective boards of trustees. Provost Furton mentioned that the top three key initiatives and investments, which the University will focus on to drive the improvement of academic quality, operational efficiency and return on investments, are: 1) Student Success, providing the support needed for better student outcomes; 2) Preeminent Programs, creating an innovation nexus where preeminent programs and teams drive research, creativity, innovation, and education; and 3) StartUP FIU, a collaborative effort across the University that is a major component of FIU's coordinated research innovation and economic

development program. He also delineated BOG key performance indicators that the University will be monitoring over the next four years and new programs for consideration by the University in AY 2016-17.

A motion was made and passed that the FIU Board of Trustees Governance Committee recommend to the Florida International University Board of Trustees the approval of the 2016-17 University Work Plan.

## **G2. University and President's Performance Goals, 2016-17**

Board Chair Puig noted that University President Mark B. Rosenberg submitted a list of goals to be considered for his 2016-17 management review. She added that in accordance with the President's employment agreement, the goals were taken directly from the University Work Plan.

A motion was made and passed that the FIU Board of Trustees Governance Committee recommend that the Florida International University Board of Trustees adopt the University and President's Performance Goals for the 2016-17 academic year, as presented by President Mark B. Rosenberg and included in the Board materials.

## **G3. University President's Incentive Goals, 2016-17**

Board Chair Puig noted that President Rosenberg submitted a list of goals to be considered for incentive compensation for the 2016-17 academic year. President Rosenberg presented the 2016-17 University President's Incentive Goals for Committee review, noting that the goals focus on key aspects of the University's activity, including patent production, research expenditures, fundraising, student internships, and community engagement.

A motion was made and passed that the FIU Board of Trustees Governance Committee approve the University President's Incentive Goals for the 2016-17 academic year.

## **4. New Business**

*No new business was raised.*

## **5. Concluding Remarks and Adjournment**

With no other business, Board Chair Claudia Puig adjourned the meeting of the Florida International University Board of Trustees' Governance Committee on Thursday, June 2, 2016 at 1:23 p.m.

*There were no Trustee requests.*

MB 6.10.16



**Governance Committee Meeting**

**Date: September 1, 2016**

**Subject: 2016 Florida Educational Equity Act Report**

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**Proposed Committee Action:**

Recommend that the Florida International University Board of Trustees approve the 2016 Florida Educational Equity Act Report.

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**Background Information:**

In accordance with Florida Board of Governors Regulation 2.003, Equity and Access, Florida International University has prepared an annual Florida Equity Report for 2015-16 that encompasses enrollment, gender equity in athletics, and employment.

The Florida International University Board of Trustees must approve the annual University's Equity Report prior to submission to the Florida Board of Governors.

The University President shall submit the Report to the Chancellor of the State University System.

Florida Board of Governors Regulation 2.003 Equity and Access (5) provides that each university shall prepare an annual Florida Equity Report in accordance with Regulation 2.003 and reporting guidelines established by the Board of Governors Office.

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# **2016 FLORIDA EDUCATIONAL EQUITY ACT REPORT**



**2016**

## *Florida Equity Report:*



Data Year: July-June, 2015-2016

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Claudia Puig Chair, University Board of Trustees	Date
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Dr. Mark B. Rosenberg University President	Date
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Prepared by:

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Date Sent: \_\_\_\_\_

FLORIDA EQUITY REPORT  
2015-2016

Table of Contents

<b>PART I</b>	<b>EXECUTIVE SUMMARY</b>	<b>4</b>
<b>PART II</b>	<b>POLICIES AND PROCEDURES IN SUPPORT OF EQUITY</b>	<b>7</b>
<b>PART III</b>	<b>ACADEMIC PROGRAM REVIEWS</b>	<b>8</b>
Chart 1.	First-Time-in College (FTIC) Enrollment, Fall 2015 and Summer Continuing into Fall 2015, Fall 2014 and Fall 2010	
Chart 2.	Florida College System Associate of Arts (A.A.) Degree Transfers, Fall 2015 and Summer Continuing into Fall 2014, and Fall 2010	
Chart 3.	Retention of Full-Time FTICs (Beginners and Early Admits) Entering Fall 2015 or Summer 2015 Continuing into Fall, After One Year	
Chart 4.	Graduation Rate of Full-Time FTICs (Beginners and Early Admits) Entering Fall 2009 or Summer 2009 Continuing into Fall, After One Year)	
Chart 5.	Bachelors Degrees Awarded, AY 2014-2015, AY 2013-2014 and AY 2009-2010	
Chart 6.	Masters Degrees Awarded, AY 2014-2015, AY 2013-2014 and AY 2009-2010	
Chart 7.	Doctoral Degrees Awarded, AY 2014-2015, AY 2013-2014 and AY 2012-2013	
Chart 8.	First Professional Degrees Awarded, AY 2014-2015, AY 2013-2014	
	<b>STUDENTS SERVICES</b>	<b>18</b>
<b>PART IV</b>	<b>GENDER EQUITY IN ATHLETICS</b>	<b>30</b>
Chart 1.	Gender Equity in Athletics Update	
Chart 2.	Gender Equity in Athletics Areas for Improvement	
Chart 3.	2012-2016 Athletic Participation by Sport	
Chart 4.	Female Enrollment Rates Compared to Participation Rates 14-15 and 15-16	
<b>PART V</b>	<b>EMPLOYMENT REPRESENTATION</b>	<b>33</b>
Chart 1.	Category Representation – Tenured Faculty	
Chart 2.	Category Representation – Tenure-Track Faculty	
Chart 3.	Category Representation – Non Tenure-Earning Faculty or Faculty at Non-Tenure Granting Universities	
Chart 4.	Category Representation – Executive/Administrative/Managerial Employees	
<b>PART VI:</b>	<b>AREAS OF IMPROVEMENT AND ACHIEVEMENT</b>	<b>35</b>

<b>PART VII:</b>	<b>PROTECTED-CLASS REPRESENTATION IN THE TENURE PROCESS</b>	<b>37</b>
<b>PART VIII:</b>	<b>PROMOTION AND TENURE COMMITTEE COMPOSITION</b>	<b>39</b>
<b>PART IX:</b>	<b>OTHER REQUIREMENTS</b>	<b>41</b>
	Budgetary Incentive Plan	
	President's Evaluation Process and Results, if required	
	Top Administrators' Evaluation Process and Results, if required	

## PART I. EXECUTIVE SUMMARY

Florida International University is a vibrant, student-centered public research university, ideally located in Miami, that is worlds ahead in its commitment to learning, research, entrepreneurship, innovation, and creativity so that our graduates are prepared to succeed in a global market. As Miami's first and only public research university offering bachelor's, master's, and doctoral degrees, FIU is worlds ahead in its service to the academic and local community. FIU is the fourth largest public university in the nation with a diverse student body of 54,000, and close to 215,000 alumni.

FIU has two major campuses: Modesto A. Maidique Campus (MMC) in West Miami-Dade County, and Biscayne Bay Campus (BBC) in North Miami Beach. FIU also has other locations which include the Engineering Center, the FIU at I-75 in Miramar, Florida, the business center in Downtown Brickell, the Miami Beach Urban Studios and the Wolfsonian-FIU on South Beach.

The guidelines for this report were provided by the Florida Board of Governors (BOG), which oversees the State University System (SUS) of Florida. The FIU Office of Equal Opportunity Programs and Diversity (EOPD) assembled a committee comprised of representatives from Student Affairs, Academic Affairs, Athletics, Human Resources, Analysis and Information Management, Enrollment Management and Services, and other offices to complete this report (see Appendix A). The Florida Educational Equity Act Report is prepared by FIU's Director of EOPD with the assistance of the Equity Report Committee and approved by the University President and the University's Board of Trustees (BOT). In addition, the report is presented to the Governance Committee of the University Board of Trustees before it is approved by the full Board.

The Annual 2015-2016 FEEA report encompasses three areas: Enrollment, Athletics, and Employment. The essence of these reports serves as a reaffirmation of the commitment of Florida International University toward enhancing the representation of women, minorities and other underrepresented groups in FIU's undergraduate, graduate and professional programs; athletics, faculty, academic administrative and administrative positions.

FIU continues its commitment to the success of our faculty, staff and undergraduate and graduate students. The University has received many accolades and implemented student success initiatives, including but not limited to:

- Top rankings. FIU is ranked first in the nation in awarding bachelor's degrees to minorities, and in awarding bachelor's and master's degrees to Hispanic students, making FIU one of the nation's largest Hispanic-Serving Institutions with the highest six-year Hispanic graduation rate.
- Top rankings. For the second year in a row, FIU has made "America's Best Employers" list by Forbes magazine. FIU is the second best ranked Florida employer after Publix, and is the highest ranking university in Florida on this year's list.
- Community Engagement. FIU is named among the top universities in the country in terms of engagement and contributions to its community. According to rankings of national universities by Washington Monthly, FIU placed 17th out of 279 higher education institutions.

- Promotion of on-campus student employment. Given that more than 50% of FIU undergraduate students qualify for Pell Grants and are the first generation in their families to receive a college degree, students who have to work to finance their college education are provided an opportunity to work on campus.
- Student employment. FIU graduates are the best paid Florida public university graduates and have the highest rate of in-state employment after graduation (BOG).

The University's Equity Report reflects initiatives and progress made over the past year:

- The **Education Effect** partnership with Miami Northwestern Senior High School is serving over 1,700 students. In the Spring of 2014, the partnership expanded to Booker T. Washington High School to serve 1,000 students. During Spring 2016, it launched a new expansion to Jesse J. McCrary Elementary School. The partnership also works with feeder pattern schools to serve an additional 4,000 students. The mission of The Education Effect is to serve as a connector of resources and assets that strengthen schools, families, and communities in order to improve student learning and life outcomes. As a University-community school partnership, there is a focus on health care and developing 21st century academic and workforce readiness skills such as critical thinking, problem solving, decision making, team work, collaboration, communication, self-direction/personal responsibility, creativity, invention, and information technology. FIU is committed to increasing access to underrepresented students through engagement with community based organizations and national initiatives such as My Brother's Keeper, 100 Black Men, pre-collegiate programs, and local nonprofits.
- The **Golden Scholars (GS) Bridge Program** is designed to assist eligible first-time college students with a seamless transition into FIU. Under the guidance of the Office of Student Access and Success, the program aims to create a strong academic foundation that will lead to academic success, retention, and graduation in a timely manner with academic support, advising, and campus resource workshops. The 2015 Golden Scholars Summer Bridge cohort consisted of 31 students. There was a 22 percent matriculation increase for Fall 2015 compared to the 2014 Golden Scholars cohort. The average entering GPA of the 2015 Golden Scholars cohort for the Summer term was calculated as 3.56. The average Fall matriculation GPA for the 2015 Golden Scholars cohort was calculated as 3.49. Since launching Golden Scholars in 2012, 217 qualified students have been provided access to post-secondary education.
- **Housing and Residential Life** is guided by the belief that celebrating diversity enriches and empowers the lives of all people. This is accomplished through the department's policies as well as programmatic, staffing, and educational initiatives. There were a total of 103 global/diversity programs conducted in the FIU residential areas during the 2015-2016 academic year.

### **Gender Equity in Athletics**

In the Fall 2015 semester, females comprised 56% of students enrolled full-time at the University compared to 50.1% of student-athletes. This component does not meet compliance due to the more than 5% gap between the percentage of participants and the percentage of female students enrolled in Fall 2015. However, all areas were assessed as equitable as FIU Athletics provided



11 varsity sports for women and 7 for men. The Athletic Department will continue efforts to increase the participation rates of female versus male student-athletes by proactively inviting walk-ons to the female sports programs, increasing female participation in track and field and placing a roster cap on the male sports. The department continues ongoing plans to improve facilities.

### **Employment Representation**

From 2010-2015, the University successfully increased its percentage of Tenured Professors from the ethnic/racial protected classes by 12%. The Non-Resident Alien and Asian categories had the highest increases with gains of 33.3% and 62.5%, respectively. Moreover, the amount of Black Tenured Professors increased by 12.5% and Hispanic Tenured professors by 15%. In 2014-2015, the University's overall increase of Tenured Professors from ethnic/racial protected classes was 1.7%. The Asian category had the largest gains this year with a 7.2% increase. The University remains committed to recruiting and retaining a diverse faculty.

### **Description of Plan Development**

The process of preparing this report involved a number of offices and the utilization of various data sources. See following table for details:

<b>PART</b>	<b>REPORTING AREA</b>	<b>RESPONSIBLE AREA</b>
I	Executive Summary	Equal Opportunity Programs and Diversity
II	Policies and Procedures in Support of Equity	Equal Opportunity Programs and Diversity
III	Academic Program Reviews	Office Analysis and Information Management, Student Affairs, Enrollment Management and Services, University Graduate School
IV	Gender Equity in Athletics	Intercollegiate Athletics
V	Employment Representation	Office of Analysis and Information Management, Office of the Provost
VI	Areas of Improvement and Achievement	Office of the Provost
VII	Protected-Class Representation in the Tenure Process	Office of the Provost, Academic Budget Office
VIII	Promotion and Tenure Committee Composition	Office of the Provost, Academic Budget Office
IX	Other Requirements	Office of the Provost, Academic Budget Office, Board of Trustees

In conclusion, Florida International University complies with state non-discrimination and Equity Act statutes. FIU is committed to the policy that all persons shall have equal access to programs, facilities, admissions, academic programs and employment without regard to personal characteristics not related to ability performance or qualifications as determined by University policy or by state or federal laws and regulations.

## **PART II. POLICIES AND PROCEDURES IN SUPPORT OF EQUITY**

The following policies and procedures have been specifically formulated to ensure equity at Florida International University. The policies and reporting procedures are updated on the webpage on an annual basis, or as often as necessary, and are widely disseminated to the University community.

### **Accommodation of Employees with Disabilities**

<http://hr.fiu.edu/uploads/EOPD/Disability.pdf>

### **FIU-105 Non-Discrimination Policy & Discrimination Complaint Procedures**

<http://regulations.fiu.edu/regulation>

### **Accommodations at University Sponsored Public Events for Persons with Disabilities**

[http://hr.fiu.edu/uploads/file/Acc\\_Pu\\_Events.pdf](http://hr.fiu.edu/uploads/file/Acc_Pu_Events.pdf)

### **AIDS Policy**

<http://hr.fiu.edu/uploads/file/AIDS.pdf>

### **Language in the Workplace**

[http://hr.fiu.edu/uploads/EOPD/Lang\\_Work.pdf](http://hr.fiu.edu/uploads/EOPD/Lang_Work.pdf)

### **Processing of Discrimination Complaints Filed with External Compliance Agencies**

<http://hr.fiu.edu/uploads/EOPD/Discrimination.pdf>

### **University President EEO Policy Statement**

The University recognizes the importance of eliminating employment barriers and, therefore, has established a non-discriminatory policy for its employees and applicants for employment. The policy provides for employment decisions to be made on a non-discriminatory basis without regard to a person's race, color, gender, religion, creed, national origin, disability, marital status, political opinions or affiliations, Vietnam or disabled veteran status, sexual orientation, gender identity or age, except as provided by law. It is designed to assure each applicant or employee has an equal opportunity in recruitment, examination, appointment, training, promotion, compensation, retention, and/or other employment practices.

### PART III. ACADEMIC PROGRAM REVIEWS

This section covers undergraduate, graduate and first professional enrollment as required by Florida statute. Data on enrollment are obtained from IPEDS (Integrated Postsecondary Education Data System). Below are eight areas of review, required of each university, with programs at the specified levels. These annual analyses display enrollment at eight levels for Protected-Class students. Data Sources include Florida BOG files, Student Data Course File, Affirmative Action Plan, Prior Year's Equity Report, Tenure and Promotion Reports, Athletic Reports, and Various Integrated Postsecondary Education Data System (IPEDS) reports.

The eight areas of review are:

- 1) First Time in College (FTIC) Enrollment
- 2) Florida Community College AA Transfers
- 3) Retention of Full-Time FTICs Entering Previous Year, After One Year
- 4) Graduation Rate of Full-Time FTICs After Six Years
- 5) Bachelor's Degrees Awarded
- 6) Master's Degrees Awarded
- 7) Doctoral Degrees Awarded
- 8) First Professional Degrees Awarded

#### **Key for all tables and charts**

NRA	= Non-Resident Alien*
B	= Black
AI/AN	= American Indian/Alaskan Native
A	= Asian
H	= Hispanic
NH/OPI	= Native Hawaiian/Other Pacific Islander
W	= White
≥ Two	= Two or more races
UNK	= Unknown

<b>Chart 1. Full-time First-Time-In-College Enrollment, Fall 2015, Fall 2014 and Fall 2010</b>										
	NRA	Asian	AI/AN	B	H	W	NH/OPI	≥ Two	UNK	T
Men	78	38	3	168	1177	121	1	57	11	1654
Women	111	46	0	245	1455	186	1	62	7	2113
Total	189	84	3	413	2632	307	2	119	18	3767
Category % of Total Fall 2015	5.0%	2.2%	0.1%	11.0%	69.9 %	8.1%	0.1%	3.2%	0.5%	100.0%
Total FTIC Fall 2014	126	109	0	391	2612	316	4	188	15	3761
Category % of Total Fall 2014	3.4%	2.9%	N/A	10.4%	69.4 %	8.4%	0.1%	5.0%	0.4%	100.0%
Total FTIC Fall 2010	53	135	1	440	2537	424	3	64	36	3693
Category % of Total Fall 2010	1.4%	3.7%	0.0%	11.9%	68.7 %	11.5%	0.1%	1.7%	1.0%	100.0%
<i>Source: BOG IPEDS Fall Enrollment by Race, Ethnicity, and sex. Line 01, First time students.</i>										

The specific comparison benchmark for FTIC enrollment is the percent of under-represented FTIC minorities at FIU versus the percent of under-represented FTIC minority students throughout the SUS. The most recent comparative data published by the Florida BOG is for Fall 2014.

In 2015, 83.2% of the FTICs at FIU were under-represented minorities. In the Fall 2014, this percentage was 82.8% of full-time FTICs students from under-represented groups. Therefore, FIU exceeds the 80% benchmark on percent of under-represented FTIC minorities.

**Chart 2. Florida College System A.A Transfers, Fall 2015 (and Summer Continuing into Fall), Fall 2014, and Fall 2010**

	NRA	Asian	AI/AN	B	H	W	NH/ OPI	≥ Two	UNK	Female	Male	Total
Total Fall 2015	479	61	3	448	1750	398	2	104	22	1844	1423	3267
Category % of Total Fall 2015	14.7%	1.9%	0.1%	13.7%	53.6%	12.2%	0.1%	3.2%	0.7%	56.4%	43.6%	100.0%
Total Fall 2014	469	67	2	477	1800	338	3	85	13	1868	1386	3254
Category % of Total Fall 2014	14.4%	2.1%	0.1%	14.7%	55.3%	10.4%	0.1%	2.6%	0.4%	57.4%	42.6%	100.0%
Total Fall 2010	449	82	3	451	1695	373	0	33	57	1856	1287	3143
Category % of Total Fall 2010	14.3%	2.6%	0.1%	14.3%	53.9%	11.9%	N/A	1.0%	1.8%	59.1%	40.9%	100.0%
Category % Change from 2010 to 2015	6.7%	-25.6%	0.0%	-0.7%	3.2%	6.7%	N/A	215.2%	-61.4%	-0.6%	10.6%	3.9%

Source: BOG IPEDS Fall Enrollment by Race, Ethnicity, and sex. Column 2 Transfer-In.

According to the FETPIP report, 26,079 AA graduates from 2013-2014 enrolled in Florida public universities. This cohort consisted of 49.6% minority students in the following racial groups: 3.7% Asian, 13% Black, 28.7% Hispanic and .003% American Indian. In comparison, at FIU, 67.6% of full-time AA transfers in Fall 2015 were minority students consisting of 0.1% Asian, 13.7% Black, 53.6% Hispanic, 0.1% American Indian, and 0.1% Native Hawaiian or Other Pacific Islanders.

The male to female ratio has remained consistent with females comprising 56.4% of the transfer population in 2015 as compared to 57.4% in 2014.

**Chart 3. Retention of Full-Time FTICs Entering Fall 2014, or Summer 2014 and Continuing into Fall, After One Year**

	NRA	Asian	AI/ AN	B	H	W	NH/ OPI	≥ Two	UNK	Female	Male	Total
Cohort	128	114	0	393	2630	318	4	179	16	2132	1650	3782
Category % of Total	3.4%	3.0%	N/A	10.4%	69.5%	8.4%	0.1%	4.7%	0.4%	56.4%	43.6%	100.0%
After 1 year	106	100	0	332	2330	263	4	139	16	1889	1401	3290
Retention Rate	82.81 %	87.72 %	N/A	84.48 %	88.59 %	82.70%	100.00 %	77.65 %	100.00 %	88.60%	84.91 %	86.99%

Source: Student Data Course File. FTICs who matriculated in Fall 2014, plus those FTICs who matriculated in Summer 2014 and enrolled in Fall 2014

The overall retention rate was 86.9%. The overall retention for females was above the average rate at 88.6% and lower for males at 84.9%. Among underrepresented students the retention rate was higher than the average for Asians at 87.7% and Hispanics at 88.5%. Native Hawaiian/Other Pacific Islander students and those whose race/ethnicity was unknown were also higher at 100%. The retention was lower than average for Blacks at 84.4%, Whites at 82.7% and two or more races at 77.6%.

FIU offers many first year programs designed to introduce students to the college environment and expectations. The programs, activities, and courses have been established to promote and support academic, intellectual, personal, and social growth.

- **First Year Experience Course (SLS 1501)**

Introduces students to FIU and promotes and supports academic, intellectual, personal, and social growth and success. SLS 1501 introduces students to the University and promotes and supports academic, intellectual, personal, and social growth and success.

- **Exploratory Students**

Designed to assist students through self-discovery for the purpose of choosing and planning for a major and career path. FIU has established career focused courses to help with the transition into a prospective career, and to assist in selecting a suitable major.

- **The Common Reading Program**

Affords students the opportunity of participating in a common curricular experience that creates community and a common ground for discussion. The FIU common reading book program is tailored specifically for incoming first year students as a way of providing students with a common experience.

- **Peer Mentor Program**

The Peer Mentor program is for students who want to be FIU student leaders by assisting a First Year Experience instructor throughout the length of the SLS1501 course. Peer mentors guide fellow peers throughout their first semester of college and are a great resource for students in and outside of the classroom.

- **Surviving the First Year**

Surviving the First Year teaches incoming first year students how to balance their social and scholastic lives and understand how important it is to get organized, manage their time well, make room for homework, social activities, work and, most importantly, time to study.

- **Academic Planning & Preparation Workshops**

FIU has various academic planning and preparation workshops to give students the tools for success. "SUCCESS - THERE'S AN APP (Academic Planning and Preparation Workshops) FOR THAT!"

- **The Center for Academic Success**

The FIU University Learning Center offers free tutorial services for students in the areas of reading, writing, language, and mathematics. Many students take advantage of the free workshops that the center provides on note taking, test taking, time and organization management.

- **Fostering Panther Pride**

FIU's Fostering Panther Pride (FPP) program offers tailored academic and other support services to undergraduate students identified as former foster youth or homeless. Launched in 2013, the primary goal of FPP is to assist former foster youth and homeless students in their transition to FIU, their retention and graduation, and their pursuit of securing employment or graduate school upon receiving their Bachelor's degree.

**Chart 4. Graduation Rate of Full-Time FTICs (Beginners and Early Admits) Entering Fall 2009, or Summer 2009 and Continuing into Fall After One Year**

	NRA	Asian	AI/AN	B	H	W	NH/ OPI	≥ Two	UNK	Female	Male	Total
Cohort	68	115	1	277	2017	404	3	30	34	1616	1333	2949
Category % of Total	2.3%	3.9%	0.0%	9.4%	68.4%	13.7%	0.1%	1.0%	1.2%	54.8%	45.2%	100.0%
After 6 years	41	65	1	122	1225	206	2	20	22	1032	672	1704
Number of Graduates												
Percent Graduated	60.3%	56.5%	100.0 %	44.0%	60.7%	51.0%	66.7%	66.7%	64.7%	63.9%	50.4%	57.8%
Category % Graduated	2.4%	3.8%	0.1%	7.2%	71.9%	12.1%	0.1%	1.2%	1.3%	60.6%	39.4%	100.0%
Number Retained	42	75	1	147	1442	231	2	23	22	1151	834	1985
Percent Retained	61.8%	65.2%	100.0 %	53.1%	71.5%	57.2%	66.7%	76.7%	64.7%	71.2%	62.6%	67.3%

Source: BOG Retention Report 06-Year FTIC Graduate Rate Report.

The six year graduation rate for the full-time freshman was 57.8% overall. This rate is a 3.5% increase from the previous academic year. In the FIU System female students had a graduation rate of 63.9% and males at 50.4%. While male graduation rates increased by 4.6%, the gap between males and females is documented in the national literature as a trend.

The graduation rates for Hispanics 60.7%, Native Hawaiian/Other Pacific Islanders 66.7% and international students (NRA) at 60.3%, all above the average graduation rate of 57.8% overall. Asian had a graduation rate of 56.5%, White students at 51.1% and Black students at 44.0%.

<b>Chart 5. Bachelor's Degrees Awarded, AY 2014-2015, AY 2013-2014, and AY 2009-2010</b>										
	NRA	Asian	AI/AN	B	H	W	NH/OPI	≥ Two	UNK	Total
<b>AY2014-2015</b>										
Male	241	96	2	369	2299	358	3	40	33	3441
Female	347	112	1	546	3455	452	5	79	56	5053
Total	588	208	3	915	5754	810	8	119	89	8494
Category % of Total	6.9%	2.4%	0.0%	10.8%	67.7%	9.5%	0.1%	1.4%	1.0%	100.0%
<b>AY2013-2014</b>										
Male	228	101	2	336	2105	374	4	24	63	3237
Female	300	119	4	537	3542	500	3	58	69	4832
Total	528	873	6	220	5347	874	7	82	132	8069
Category % of Total	6.5%	10.8%	0.1%	2.7%	66.3%	0.1%	10.8%	1.0%	1.6%	100.0%
<b>AY2009-2010</b>										
Male	192	113	2	242	1504	347	N/A	N/A	9	2409
Female	263	128	10	478	2414	552	N/A	N/A	12	3857
Total	455	241	12	720	3918	899	0	0	21	6266
Category % of Total	7.3%	3.8%	0.2%	11.5%	62.5%	14.3%	N/A	N/A	0.3%	100.0%
<i>Source: BOG IPEDS Completions AY 2014-2015, AY 2013-2014, AY 2009-2010 Report Degrees Awarded Bachelor's Completions: Total by first major.</i>										

The number and percentage of Bachelor's degrees awarded for each race/ethnic group are shown in Chart 5. FIU awarded a total of 8,494 degrees in academic year 2014-2015, which is an increase of 425 degrees from 8,069 awarded in the previous year. Females earned 221 of the

425 additional degrees awarded in 2014-2015 and males earned 204 more bachelor's degrees. Overall degree productivity continued an upward trend from the previous year.

Chart 6. Masters Degrees Awarded, AY2014-2015, AY2013-2014, and AY2009-2010										
	NRA	Asian	AI/AN	B	H	W	NH/OPI	≥ Two	UNK	T
AY2014-2015										
Male	334	42	1	131	581	240	0	17	14	1360
Female	345	56	2	234	875	277	2	23	13	1827
Total	679	98	3	365	1456	517	2	40	27	3187
Category % of Total	21.3%	3.1%	0.1%	11.5%	45.7%	16.2%	0.1%	1.3%	0.8%	100.0%
AY2013-2014										
Male	275	45	1	129	637	242	3	12	24	1368
Female	320	57	1	256	821	285	1	21	29	1791
Total	595	102	2	385	1458	527	4	33	53	3159
Category % of Total	18.8%	3.2%	0.1%	12.2%	46.2%	16.7%	0.1%	1.0%	1.7%	100.0%
AY2009-2010										
Male	265	29	2	78	370	171	N/A	N/A	7	922
Female	232	56	4	213	644	256	N/A	N/A	14	1419
Total	497	85	6	291	1014	427	0	0	21	2341
Category % of Total	21.2%	3.6%	0.3%	12.4%	43.3%	18.2%	N/A	N/A	0.9%	100.0%
Source: BOG IPEDS Completions AY 2014-2015, AY 2013-2014, AY 2009-2010 Report Degrees Awarded Master's Completions: Total by first major.										

There was a slight increase in masters degrees awarded in AY 2014-2015 from AY 2013-2014. In AY 2014-2015, 3,187 masters degrees were conferred while in AY 2013-2014, a total of 3,159 Masters Degrees were awarded. Moreover, a total of 1,827 masters degrees were awarded to women (57.8%) compared to 1,360 master's degrees awarded to men (43%). Hispanic females



represented the largest gender-specific fraction, 27.4%, followed by Hispanic males, 18.2% of the total number of master's degrees awarded for AY 2014-2015. White and Black females represented 8.6% and 7.3% of masters degrees awarded in AY 2014-2015, respectively. For the AY 2014-2015, females within the Black, Asian, Hispanic, and White categories were awarded more master's degrees in comparison to their male counterparts, a trend that was also observed for AY 2013-2014.

Hispanic students were awarded the largest number of masters degrees, with 1,456 conferrals representing 45.6% of the total number of master's degrees awarded in 2014-2015, a slight decrease from degrees awarded in 2013-2014 (>1%). Non-resident alien (NRA) students accounted for the second largest fraction at 21.3% of the total number of master's degrees awarded in the AY 2014-2015. The percentage of master's degrees awarded to Black students decreased 5.1% in AY 2014-2015. Asian students accounted for 3.1% of the total master's degrees conferred. White students were awarded 16.2% of all degrees conferred.

<b>Chart 7. Doctoral Degrees Awarded, AY2014-2015, AY2013-2014, and AY2012-2013</b>										
	NRA	A	AI/AN	B	H	W	NH/OPI	≥ Two	UNK	Total
AY2014-2015										
Male	40	4	0	4	20	36	0	4	3	111
Female	27	9	0	15	28	47	1	2	7	136
Total	67	13	0	19	48	83	1	6	10	247
Category % of Total	27.1%	5.3%	N/A	7.7%	19.4%	33.6%	0.4%	2.4%	4.0%	100.0%
AY2013-2014										
Male	39	5	0	8	25	16	0	0	1	94
Female	27	6	0	11	37	37	0	0	2	120
Total	66	11	0	19	62	53	0	0	3	214
Category % of Total	30.8%	5.1%	N/A	8.9%	29.0%	24.8%	N/A	N/A	1.4%	100.0%
AY2012-2013										
Male	35	2	0	3	16	13	0	0	0	69
Female	21	6	0	5	27	18	0	0	0	77
Total	56	8	0	8	43	31	0	0	0	146
Category % of Total	38.4%	5.5%	N/A	5.5%	29.5%	21.2%	N/A	N/A	N/A	100.0%
Source: BOG IPEDS Completions AY 2014-2015, AY 2013-2014, AY 2009-2010 Report Degrees Awarded Doctoral Completions: Total by first major.										

A total of 247 were conferred for AY 2014-2015 (chart 7), up from 159 doctoral degrees conferred in AY 2013-2014. The majority of doctoral degrees (55%) were awarded to female students. The largest increase was noted in the doctoral degrees awarded to White students, up from 24.8% (53) of total degrees awarded in AY 2013-2014 to 33.6% (83) of total degrees awarded in AY 2014-2015. The percentage of doctoral degrees awarded to Hispanic students decreased from 29% AY 2013-2014 to 19.4% AY 2014-2015. The number of degrees awarded to Hispanic students decreased from 62 awarded in AY 2013-2014 to 48 doctoral degrees awarded in AY 2014-2015.

A decrease was also noted in the percentage of doctoral degrees awarded to non-resident aliens (NRA) 30.8% (66) in AY 2013-2014 when compared to 27.1% (67) in AY 2014-2015. Black students represented 7.7% of the total doctoral degrees awarded in AY2014-2015, compared to 8.9% awarded in AY 2013-2014. Although a decrease in the percentage was noted, the number awarded from AY 2013-2014 to AY 2014-2015 remained the same at (19).

A continuing trend since AY 2009-2010 has been that no doctoral degrees were recorded for the American Indian/Alaska Native group during the AY 2014-2015.

<b>Chart 8. First Professional Degrees Awarded, AY2014-2015, AY2013-2014, and AY2009-2010</b>										
	NRA	Asian	AI/AN	B	H	W	NH/OPI	≥ Two	UNK	Total
AY2014-2015										
Male	1	4	0	9	50	61	0	1	6	132
Female	0	10	1	12	59	60	1	2	6	151
Total	1	14	1	21	109	121	1	3	12	283
Category % of Total	0.4%	4.9%	0.4%	7.4%	38.5%	42.8%	0.4%	1.1%	4.2%	100.0%
AY2013-2014										
Male	0	9	1	5	43	71	0	0	2	131
Female	2	10	0	5	68	35	0	2	2	124
Total	2	19	1	10	111	106	0	2	4	255
Category % of Total	0.8%	7.5%	0.4%	3.9%	43.5%	41.6%	N/A	0.8%	1.6%	100.0%
AY2009-2010										

Male	2	5	0	1	36	N/A	43	N/A	3	90
Female	2	6	0	4	48	N/A	24	N/A	2	86
Total	4	11	0	5	84	0	67	0	5	176
Category % of Total	2.3%	6.3%	N/A	2.8%	47.7%	N/A	38.1%	N/A	2.8%	100.0%
<i>Source: IPEDS Completions 2015-2016, 2014-2015, 2010-2011 reports (degrees awarded AY 2014-2015, AY 2013-2014 AY 2009-2010), GRAND TOTAL BY FIRST MAJOR, First Professional degrees. Chart for 99.0000, all disciplines.</i>										

For AY 2014-2015, the designation of “Professional Doctorates” represents degrees awarded through the College of Law (JD) and the College of Nursing and Health Sciences (DPT-Doctorate Physical Therapy) (Chart 8). Two hundred and twenty-five (283) degrees were awarded under the professional doctorate category.

Males represent 48.4% and females 51.5% of the degree recipients. White students represented the largest group with 42.8% of degree recipients. Hispanic students represented the second largest group with 38.5% of degree recipients, a decrease from AY 2013-2014 (43.5%). Black students represented 7.4% of degree recipients, an increase from AY 2013-2014 (3.9%). Degrees granted to American Indian/Alaska Natives remained the same at 0.4%. Non-resident aliens and Asian students represent a small fraction (< 10%) of the professional degrees awarded.

### **Targeted Goals**

After careful evaluation of our data, we have identified recruitment and retention of Black and Hispanic doctoral students as a primary goal for our graduate programs, specifically Science, Technology, Engineering and Mathematics (STEM). Our goals are:

- To increase the proportion of research doctorates awarded to Black students by 0.5% each year so that by 2020 Black students will represent 18% of research doctorates awarded to domestic students
- To increase the proportion of research doctorates awarded to Hispanic students by 2.0% each year so that by 2020 Hispanic students will represent 38% of research doctorates awarded to domestic students

### **Recruitment**

The FIU University Graduate School (UGS) has enhanced its strategic recruitment initiatives in order to address its minority student recruitment goals. Representatives of UGS attended four McNair Research Conferences and four minority-specific professional organization conferences (National Society for Black Engineers, Annual Biomedical Research Conference for Minority students, Emerging Research National Conference in STEM, the FGLSAMP Expo for the Alliance of Minority participation in STEM, and the Florida Education Fund McKnight Doctoral Fellowship program) for the purpose of recruiting underrepresented graduate students. Recruitment initiatives are also under way to continue expanding and strengthening the presence of FIU in minority-populated markets. The UGS increased its participation in The National Consortium for Graduate Degrees for Minorities in Engineering and Science, Inc. (GEM) and one FIU masters student was awarded a GEM fellowship for the AY 2016-2017. In AY 2014-2015, UGS played a

key role in the development facilitation of the FIU/NSF Bridge to Doctorate (BD) site for the Florida-Georgia Louis Stokes Alliance for Minority Participation (LSAMP) program, which provides tuition scholarships and research experiences to a cohort of 17 African-American and Hispanic graduate students in STEM whose goal it is to obtain a doctoral degree. Of the 17 NSF BD fellows, one was awarded a 2015 NSF GRFP fellowship, four participated in summer research internship programs at the Naval Research Lab and Airforce Research Lab, and one was awarded an NSF I-Corps grant.

The UGS was recently invited to participate in the National Name Exchange (NNE). This is a consortium of fifty-five nationally-known universities which on an annual basis collect and exchange the names of talented underrepresented ethnic minority students who are in their sophomore, junior or senior year of their undergraduate education. The purpose of the exchange is to ensure that participating universities continue to identify a pool of qualified students who could be recruited to the graduate programs at these institutions.

As a result of our recent recruitment activities, FIU will have fourteen new McKnight Fellows starting in Fall Semester 2016. McKnight Fellows, who are Black and Hispanic doctoral students, are supported by the Florida Education Fund (FEF). They will receive a \$10,000 enhancement and a medical insurance supplement from the UGS at FIU. We are also expecting four new NSF BD students starting in Fall 2016 and two in the Spring 2017 term.

### **Retention**

The UGS funded several initiatives aimed at retaining minority graduate students during the AY 2014-2015. In the Spring 2015, UGS invited an interactive theater performance on Mentoring Graduate Students, led by the internationally-known Theater Delta Interactive Performance Group. The group focused on mentoring URM graduate students. Both faculty and graduate students attended the performance which led to a discussion on what approaches faculty and graduate students can follow when entering into a mentoring relationship.

The UGS McNair Graduate Fellowship Award fully supported six (largely URM master's and doctoral level students) through the first half of their graduate education, with a guaranteed graduate assistantship in the students' home departments during the second half of their graduate careers.

The Graduate Minority Opportunities Program (GMOP) assisted in the retention of Black and Hispanic students through the implementation of the following activities:

- Awarded \$2,000 to all GMOP participants
- Offered networking opportunities and retention-focused workshops (library research skills, writing skills, and graduate student life)
- Partnered with the Center for Excellence in Writing and Library services to provide GMOP participants with graduate-level writing assistance via workshops and one-on-one tutoring sessions

For AY 2015-2016, UGS became an institutional partner with the Southern Regional Education Board Doctoral Scholars Program. The program will allow FIU to nominate 2-3 URM doctoral students while providing these students with multiple layers of support including financial assistance, academic/research funding, career counseling and job postings, scholar counseling and advocacy, a scholar directory for networking and recruiting, invitation to the annual Institute on Teaching and Mentoring, and continued early career support.

## **STUDENT SERVICES**

### **1. ACADEMIC ADVISING**

#### **A. GUIDANCE AND COUNSELING**

##### **Access and Equity within Academic Advising**

All students at FIU have equal access to utilize academic advising services at FIU. We are committed to ensuring equitable treatment for all students and to employ a diverse staff of professional academic advisors who can serve as guides and mentors for our diverse student population. All students also have access to an online advising tool (My\_eAdvisor) that provides students with information on all degree requirements and a mechanism to send messages to and make appointments with their assigned academic advisor. They are also assigned to a professional academic advisor from their respective academic department who is responsible for providing support and monitoring their academic progress.

##### **Graduation Success Initiative**

As part of FIU's Graduation Success Initiative (GSI), all FIU students are admitted directly to their respective majors and receive academic advising from their assigned departmental academic advisor. This model was implemented in AY 2012 to provide students with a more immediate ability to connect with their academic department and the professional academic advisors are a vital part of that process. Prior to the GSI effort, a great deal of the academic advising at FIU was relegated to faculty members. While faculty members are extremely knowledgeable about their respective fields of study and provide excellent mentoring, they are often pulled in several directions and are not always kept up-to-date on the latest academic policies that impact students. As such, the institution set aside financial resources to increase the professional academic advising staff so that students would have more access to obtaining the academic advising that is critical to student success. Faculty remain an important and accessible aspect of our students' support network, but they now have the opportunity to provide more of a mentoring role for all students to guide them toward a seamless transition to both graduate school opportunities and jobs within their chosen field.

Along those lines, the University has continued reviewing the current student to advisor ratios to ensure that they are both manageable (for both advisors and students) and align with the standards that have been identified by the National Academic Advising Association. In an effort to achieve a recommended ratio of approximately 300-400 students per academic advisor, over 70 new academic advisors have been added since 2009. There have also been resources set aside to continue adding academic advisors as enrollment increases in an effort to improve retention and graduation rates. The current University-wide student to advisor ratio is just under 400:1.

In addition to providing students with greater access to academic advisors, adding additional advisors has also involved new strategies related to improving institutional graduation rates. Through the efforts of FIU's Office of Retention and Graduation Success, academic advisors now receive alerts on students who are not making sufficient progress toward their degree completion. Along those lines, lists of students who are getting close to graduation are generated and provided to academic advisors. Those students are then contacted about what they need to complete their degree requirements. These efforts (adding additional academic advisors, the implementation of the online advising tool, and the outreach efforts being made by academic advisors) are having a

significant impact on FIU's 6-year graduation rates. In 2011, the 6-year graduation rate was 41%. By 2015, that rate had improved to 57%.

Within this past year, we have also begun more outreach efforts with students in their first year of college in order to ensure that they make a smooth transition and persist to the second year. As a result, FIU's first-to-second year retention rate reached an all-time high of 80% in 2015. That rate only includes those students from the first-year cohort who are enrolled in the Fall semester of their second year AND who have at least a 2.0 grade point average. Academic advisors have been a vital aspect of those efforts in both responding to early alerts that have been submitted by faculty who teach key first-year courses and by actively reaching out (via technology and phone calls) to those students from the first-year cohort who were not yet enrolled for future semesters. All of these efforts that are aimed at utilizing academic advising to improve retention and graduation rates have also received national recognition and financial awards to help support these initiatives. In the Spring of 2014, FIU was awarded the Most Visible Progress (MVP) Award by the Association of Public Land-Grant Universities (APLU). More recently, we have also received two different \$60,000 awards that were sponsored by student success grants being awarded by APLU and the Urban Serving Universities (USU) Coalition.

### **Advising Special Populations**

The efforts of the GSI and the online advising tool (My\_eAdvisor) have enabled FIU to provide additional assistance to those students who are struggling academically or who have been deemed to be more "at risk." Academic departments and their advisors have access to place registration holds on students who are required to meet with advisors regularly. In some cases, departments place those holds on all students. In other cases, registration holds are placed only on students who are struggling to complete certain courses or whose grade point averages have fallen below acceptable standards. Beginning this year, all first-year FIU students (freshmen and transfer students) will be required to meet with an advisor prior to being able to enroll in their second semester at FIU (they are already required to meet with an advisor prior to their first semester).

The Undergraduate Education Academic Advising Center, FIU's centralized advising unit, has also developed specialized advising initiatives for certain groups of students. The best example of that is the program that has been implemented for students who are unsure about which major they would like to pursue. Those students are admitted to one of our six Exploratory Studies tracks and are assigned to one of the seven professional advisors in the Undergraduate Education Academic Advising Center until they identify an appropriate major. In addition to the general advising support, those students are also encouraged to complete a one-credit hour course (Discover Your Major) that is designed to help students explore how their interests, skills, and values relate to various career options.

The centralized advising center also partners with the Office of Student Access and Success to support the transition and advising for students who participate in several of their programs, including those with developmental course needs, former foster youth, and those participating in special bridge programs. Students with developmental needs (referred to as College Prep students) are tracked through the Academic Advising Center and required to meet with advisors in that office until they meet all of the developmental requirements. The Fostering Panther Pride program was developed to provide additional support and assistance to both students who were part of the state's foster care system and to students who need assistance with finding a place to live (i.e. homeless students). FIU employs a Program Director and a Success Coach to work with the Fostering Panther Pride program to ensure that those students have access to both campus

and community resources. Newly admitted students who have participated in FIU's pre-college programs and who can also demonstrate financial need are invited to join FIU's Invitational Scholars program and have access to an academic advisor who supports their academic endeavors. The Golden Scholars Program grants admission to about 40-50 students each year who are from lower income households and who fall just short of established admission standards. Those students receive programming, academic advising, and ongoing support from several members of the FIU community, including the academic advisors in the Undergraduate Education Academic Advising Center.

## **Advisor Training and Professional Development**

All academic advisors are trained centrally by the Undergraduate Education Academic Advising Center once they are hired and begin working at FIU. That training consists of three to four days of instruction on academic policies and procedures and the strategies for effectively working with the FIU student population. That includes information regarding how to work with diverse populations as well as how to make appropriate referrals to the other resources on campus.

In addition to the initial training (and the training that advisors receive from their respective academic departments), all professional academic advisors participate in ongoing professional development opportunities. More specifically, advisors can participate in workshops (that are presented by advising administrators, other academic advisors, and professionals from various departments on campus), attend professional conferences, take academic courses, conduct scholarly research, and participate in teleconferences and other online training modules. In addition to several workshops pertaining to specific university/advising policies, some of the workshops that related more to working with diverse populations that were offered this past year included: Working with Diverse Students, Connecting with Students, Advising Veteran Students, Advising Students with Disabilities, Advising International Students, Advising Online Students, and Addressing Behaviors of Concern.

In addition to these topics, this past year we held several workshops designed to help academic advisors better understand the complicated financial aid process that impacts many of our students. Along those lines, the advisors learned more about the need for students to complete at least 67% of attempted credits and maintain other academic standards in order to remain eligible to receive their financial aid. This has been particularly useful for those advisors who work with first-generation college students and other students receiving aid (approximately 50% of FIU's students are Pell-eligible).

This professional development program was developed to not only encourage the academic advisors to continue their own growth and learning but also to ensure that our students receive the best possible service from their assigned academic advisors.

## **Advising and Support Websites:**

General Advising and Graduation Success Reference:	<a href="http://gsi.fiu.edu">gsi.fiu.edu</a>
Exploratory Advising:	<a href="http://undergrad.fiu.edu/advising/">undergrad.fiu.edu/advising/</a>
Center for Academic Success:	<a href="http://undergrad.fiu.edu/cas/">undergrad.fiu.edu/cas/</a>
Center for Excellence in Writing:	<a href="http://writingcenter.fiu.edu/">writingcenter.fiu.edu/</a>
Contact Information for all Academic Majors/Programs:	<a href="http://mymajor.fiu.edu">mymajor.fiu.edu</a>
Fostering Panther Pride:	<a href="http://undergrad.fiu.edu/fpp/index.html">undergrad.fiu.edu/fpp/index.html</a>
Invitational Scholars Program:	<a href="http://undergrad.fiu.edu/isp/">undergrad.fiu.edu/isp/</a>
Golden Scholars:	<a href="http://goldenscholars.fiu.edu/">goldenscholars.fiu.edu/</a>

## 2. COUNSELING AND HEALTH SERVICES

The mission of the Student Health Services (SHS) is to “provide affordable and accessible student-focused medical care and promote healthy lifestyles through education, mentorship, and research activities thus facilitating the academic success of our students. We proactively assess our diverse population, and work with university and community partners to address the changing needs of our students, in a holistic, innovative and supportive environment where optimal health can be realized.”

Health education, health promotion, wellness, pharmacy, laboratory, immunizations, preventive health, primary care, and specialty services are available to all registered students and non-registered students for pre-matriculation purposes. First aid services are also offered to all those in need. Any individual that needs assistance and meets the eligibility requirements is seen regardless of race, color, national origin, sex, religion, age, disability, marital status, veteran status or any other classification that is protected by law or university policy; however at the present time the demographic data collected by the department is limited to gender, ethnicity, and age. Utilization of the services provided at the SHS by individuals in these categories is listed below.

**SHS Gender by Percentage**

Division	Male	Female	Other	All Encounters
BBC General Medical	998	3308	23	4329
BBC Healthy Living	1643	2528	18	4189
MMC General Medical	9493	17387	28	26908
MMC Healthy Living	3510	6666	48	10224
<b>Total</b>	<b>15644</b>	<b>29889</b>	<b>117</b>	<b>45650</b>

**SHS Gender by Percentage**

Division	Male	Female	Other
BBC General Medical	23.05%	76.41%	0.53%
BBC Healthy Living	39.22%	60.35%	0.43%
MMC General Medical	35.28%	64.62%	0.10%
MMC Healthy Living	34.33%	65.20%	0.47%
<b>All Divisions Combined</b>	<b>34.27%</b>	<b>65.47%</b>	<b>0.26%</b>

The gender ratio of patients seen at the SHS is similar and reflects the national trends for health care at colleges and universities as well as statistics in ambulatory health care settings in the community.



### Ethnicity by Encounter

<b>Ethnicity</b>	<b>BBC General Medical</b>	<b>BBC Healthy Living</b>	<b>MMC General Medical</b>	<b>MMC Healthy Living</b>	<b>All Divisions Combined</b>
American Indian	6	21	19	9	55
Asian	459	252	1956	563	3230
Black	1082	1294	3943	1577	7896
Hispanic	1273	1690	11702	5555	20220
White	613	579	4859	1226	7277
Not Reported / Unknown	50	199	661	821	1731
Other	846	154	3768	473	5241
<b>Total</b>	<b>4329</b>	<b>4189</b>	<b>26908</b>	<b>10224</b>	<b>45650</b>

### Ethnicity by Percentage

<b>Ethnicity</b>	<b>BBC General Medical</b>	<b>BBC Healthy Living</b>	<b>MMC General Medical</b>	<b>MMC Healthy Living</b>	<b>All Divisions Combined</b>
<b>American Indian</b>	10.91%	38.18%	34.55%	16.36%	0.12%
<b>Asian</b>	14.21%	7.80%	60.56%	17.43%	7.08%
<b>Black</b>	13.70%	16.39%	49.94%	19.97%	17.30%
<b>Hispanic</b>	6.30%	8.36%	57.87%	27.47%	44.29%
<b>White</b>	8.42%	7.96%	66.77%	16.85%	15.94%
<b>Not Reported / Unknown</b>	2.89%	11.50%	38.19%	47.43%	3.79%
<b>Other</b>	16.14%	2.94%	71.89%	9.02%	11.48%

<b>SHS Patient Age by Encounter Count</b>				
<b>Division</b>	<b>Under 18</b>	<b>18 - 25</b>	<b>26 - 35</b>	<b>Over 35</b>
BBC General Medical	1	2317	946	375
BBC Healthy Living	108	2739	918	409
MMC General Medical	42	15758	7148	1580
MMC Healthy Living	27	7479	1485	1183
<b>Total</b>	<b>178</b>	<b>28293</b>	<b>10497</b>	<b>3547</b>

<b>SHS Patient Age by Percentage</b>				
<b>Division</b>	<b>Under 18</b>	<b>18 - 25</b>	<b>26 - 35</b>	<b>Over 35</b>
BBC General Medical	0.03%	63.67%	26.00%	10.31%
BBC Healthy Living	2.59%	65.62%	21.99%	9.80%
MMC General Medical	0.17%	64.24%	29.14%	6.44%
MMC Healthy Living	0.27%	73.51%	14.60%	11.63%
<b>All Divisions Combined</b>	<b>0.42%</b>	<b>66.55%</b>	<b>24.69%</b>	<b>8.34%</b>

The ethnicity of patients who receive on-campus clinical care and consultative services at SHS mirrors the overall ethnicity of students enrolled at the University. The age range of patients seen by the SHS staff is comparable to the general student population at the two major campuses of FIU.

### **3. CLUB AND INTRAMURAL**

The FIU Intramural Sports program (IM), through the commitment of the Division of Student Affairs' Department of Recreation Services, fosters student development in important life skills such as leadership, competitiveness, teamwork, and sportsmanship. In support of the mission of the University and the Division of Student Affairs, Recreation Services promotes active, healthy lifestyles for FIU's vibrant and diverse community through quality participation opportunities, educational experiences, and support services. Through intramurals, students of all backgrounds are encouraged to practice a balanced lifestyle while developing habits that have a positive impact on their physical health and fitness.

To increase women's participation, the use of instructional clinics will continue to be used; promotional methods focusing on social media will be increased; use of National Collegiate Athletic Association (NCAA) freshman female interest assessment data will be continued; and regular departmental assessment methods will continue. In addition, the University's opening of the new residence hall near the Recreation Center will likely generate increased usage of clubs and intramural sports in and of its own.

	FIU 2010/2011		FIU 2011/2012		FIU 2012/2013		FIU 2013/2014		FIU 2014/2015	
	Teams	Percent	Teams	Percent	Teams	Percent	Teams	Percent	Teams	Percent
<b>IM Sport Teams</b>										
<b>Female</b>	44	11%	61	8%	76	14%	45	9%	52	13%
<b>Male</b>	310	77%	654	84%	355	66%	343	69%	301	-13%
<b>Co-Rec</b>	51	13%	67	9%	108	20%	100	22%	96	-4%
<b>Total</b>	405	13%	782	93%	539	-31%	488	-8%	449	-10%
<b>IM Sport Participants<sup>1</sup></b>										
<b>Female</b>	895	19%	1,148	22%	1291	23%	1207	23%	1346	10%
<b>Male</b>	3818	81%	4154	78%	4289	77%	4047	77%	3973	-1%
<b>Total</b>	4713	76%	5302	12%	5580	5%	5254	-6%	5319	-1%
<b>IM Sport Participants</b>										
<b>Female</b>	3388	18%	4250	20%	4953	22%	4143	23%	4223	1%
<b>Male</b>	15893	82%	16911	80%	17891	78%	13959	77%	12949	-07%
<b>Total</b>	19281	11%	21161	10%	22844	8%	18,102	-21%	17172	-5%
<b>Sport Club Participants</b>	21 total clubs		23 total clubs		25 total clubs		33 total clubs		28 total clubs	
<b>Female</b>	127	33%	131	31%	146	27%	196	36%	161	-.21%
<b>Male</b>	261	67%	293	69%	399	73%	353	64%	263	-34%
<b>Total</b>	388	80%	424	9%	545	29%	549	1%	424	-29%

<sup>1</sup> Number of individuals on all teams and those participating in non-team sports like tennis which do not appear in the Team totals)

The number of teams in 2014/15 decreased by 10% from 2013/14 totals. Women's teams increased by 13% and men's teams dropped by 13% respectively. The increase in the number of sorority teams accounts for most of the women's increase. Overall, both participants and participations decreased (1% and 5% respectively), but women's participants increased by 10%. The overall number of both women's and men's Sport Club participants decreased by 29%.

### **Ways to Improve Women's Participation:**

- Assessment data from incoming freshman women (NCAA Title IX Evaluation) was used to directly contact them via email to inform them of opportunities and where to find more information. This use will continue.
- Increased use of social networking methods to attract women participants were used this year, including (but not limited to) more inclusive images in publications.
- Increased assessment of the general student body's recreation, sports, and fitness interests. (on-going)
- The vast majority of women's use of the Recreation Center continues to be through our PantherFIT Group Fitness Classes - 97% of attendees are women, an increase of 2% from last year. In addition, the observed number of women using the weight room, new outdoor jogging track, and open gym basketball time has increased.

### **4. STUDENT FINANCIAL ASSISTANCE**

The Office of Financial Aid administers student financial aid in accordance with federal and state laws, regulations and guidelines as well as institutional policies and procedures. The office is audited annually to ensure federal and state aid programs are properly managed and funds are timely disbursed to students.

In terms of benchmarking, this office compares its full-time, first time degree seeking undergraduates receiving aid against the national average derived for four year public Title IV institutions. We strive to exceed 80% of the national average of students who receive federal, state and institutional aid. The chart below illustrates the University's favorable comparison when applying the 80% threshold.

The most recent national data for 2014 shows that 83% of the full-time, first-time degree seeking undergraduates received aid. The institution exceeded the 80% rule in terms of percentage of total students aided (109%), students receiving federal grants (134%), students receiving state grants (179%), and institution grants (106%).

### **IPEDS:Full-Time, First-time Degree/Certificate Undergraduates Receiving Financial Aid**

	%Receiving					Average \$ Amount			
	Students	Federal Grants	State Grants	Inst.	Loans	Federal Grants	State Grants	Inst.	Loans
2014: National Avg*	83	38	37.4	45.3	48.8	\$4600	\$3200	\$8600	\$7100
2014: FIU Avg**	91	51	67	48	40	\$4710	\$2657	\$5487	\$5745
FIU/National Avg	1.09	1.34	1.79	1.06	n/a	1.02	0.83	0.64	n/a
80% Threshold	Yes	Yes	Yes	Yes	n/a	Yes	Yes	No	n/a

*\*Source: U.S. Department of Education, National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS), Fall 2014, Fall 2013, Student Financial Aid component.*

Looking at the data for the average amount of award, the institution met or exceeded the 80% threshold for federal grants, where Pell grants were increased in amounts and eligibility criteria expanded nationally. State grants also meet the 80% threshold as enrollment and the relative need of our students continued to grow. Institutional grants did not meet the 80% threshold for average aid though the percentage increased from 36% in 2013 to 64% in 2014.

## 5. HOUSING

The Department of Housing and Residential Life at FIU offers residential students a vibrant and diverse living and learning experience. The diversity of the residential community takes many forms. It includes differences related to race, ethnicity, national origin, gender, socioeconomic status, sexual orientation, religion, age, and ability. Contained in this report is information regarding housing assignment information, residents, and staff demographics and an overview of departmental diversity initiatives and programs.

Residential students are informed via the housing agreement that assignments are made by the Housing Office without regard to race, religion, national origin, sexual orientation, age, disability, or any legally protected status.

### RESIDENTIAL STUDENTS DEMOGRAPHICS:

CLASSIFICATION	FALL 2015		SPRING 2016	
	COUNT	PERCENT	COUNT	PERCENT
<b>GENDER</b>				
Females	1926	59.15	1870	58.22
Males	1330	40.85	1342	41.78
<b>ETHNICITY</b>				
African American	1144	35.14	1101	34.28
Asian	154	4.73	160	4.98
Hispanic	1088	33.42	1064	33.13
Native American	3	0.09	3	0.09
Not Reported	70	2.15	132	4.11
Other	150	4.61	146	4.55
White	647	19.87	606	18.87
<b>AGE</b>				
15-17	111	3.14	31	0.97
18-20	2258	69.35	2057	64.04
21-25	817	25.09	1037	32.29
26-30	56	1.72	68	2.12
31-over	14	0.43	19	0.59

## HOUSING AND RESIDENTIAL LIFE STAFF DEMOGRAPHICS:

**Housing and Residential Life Staff** (Total of **66** Includes: 1 Housing Director, 1 Residential Life Director, 1 Director of Facilities Planning, 3 Associate Directors, 4 Assistant Directors, 1 Brand Manager, 2 Managers of Admin Services, 1 Finance Manager, 1 Custodial Manager, 1 Maintenance Manager, 1 Custodial Supervisor II, 2 Maintenance Supervisors, 7 Res Life Coordinators, 16 Custodial Workers, 11 Maintenance Mechanics, 2 Office Coordinators, 2 Accounting Specialists, 2 Senior Accounting Clerks, 4 Office Specialists, 1 Procurement Agent, 1 Program Assistant, and 1 Storekeeper Receiving Clerk).

NUMBER	PERCENTAGE	ETHNICITY	NUMBER	PERCENTAGE	GENDER
44	66.67%	Hispanic	29	43.94%	Female
9	13.64%	White Non-Hispanic	37	56.06%	Male
10	15.15%	Black Non-Hispanic			
2	3.03%	Asian			
1	1.52%	Other minority groups			

**Residential Life Student Staff** (total of **181** includes: (8) Graduate Assistants, (79) Resident Assistants, (9) Office Assistants, (70) Desk Assistants, (7) Mail Assistants, and (8) Tutors)

NUMBER	PERCENTAGE	ETHNICITY	NUMBER	PERCENTAGE	GENDER
53	29.3%	Hispanic	111	61.3%	Female
23	12.7%	White Non-Hispanic	70	38.7%	Male
85	47.0%	Black Non-Hispanic			
8	4.4%	Asian			
12	6.6%	Other minority groups			

## PROGRAM INITIATIVES AND HIGHLIGHTS FOR THE 2015-2016 YEAR

The Department of Housing and Residential Life is guided by the belief that celebrating diversity enriches and empowers the lives of all people. This is accomplished through the department's policies as well as the programmatic, staffing, and educational initiatives.

All students who choose to live in or visit the residential communities are expected to understand and abide by all housing policies. Among these, residents are aware that housing does not tolerate any form of bigotry, harassment, intimidation, threat, or abuse, whether verbal or written, physical or psychological, direct or implied. All reported incidents are handled through the University's student conduct processes.

There were a **total of 103 global/diversity programs** conducted in the residential areas during the 2015-2016 academic year. These were accomplished through various collaborative efforts with other campus partners; the "Grab 'n Go Programs" offered by in-hall staff where residents are taken to other campus wide initiatives by their RAs; and through a series of passive programs and initiatives (i.e. poster campaigns and hall bulletin boards).

Below are the number of programs sponsored in each residential area as well as some examples of diversity or global events that occurred within the different residence halls and University-owned apartments.

In Hall Programing Efforts	UA	EVE	UT	LVN	LVS	PH	PVH	Committee	Total
Global	1	18	6	5	4	0	7	6	47
Diversity	4	8	10	3	7	9	11	4	56

### **University Apartments**

University Apartments sponsored “Pizza and Perceptions” where students were asked to share and discuss issues faced by the Lesbian, Gay, Bisexual, and Transgender (LGBT) community after watching the movie “I Now Pronounce You Chuck and Larry.”

### **Everglades Hall**

Everglades Hall sponsored “Drag Ball 2016” featuring both professional and student performances. Another program “Breaking the Chains” focused on educating residents about human trafficking and had students sign a pledge against trafficking. “Signing and Snow Cones” featured Assistant Residential Life Coordinator (ARLC) Shawn Chatmon teaching students American Sign Language.

### **University Towers**

University Towers hosted a program “A Whole New World” in which residents were educated on sustainability, and were provided with canvas shopping bags to decorate and use while shopping. “Hispanic Heritage Month Celebration” invited Professor Joseph Holbrook to speak on Latin American history, while RAs asked residents trivia questions on heritage and culture. “Hi My Name is \_\_\_\_\_ and I’m Gay” focused on challenging students to understand the experience of “coming out” by placing themselves within the context of a “coming out” narrative.

### **Lakeview North**

Lakeview North Hall sponsored “A taste of Global Learning” which connected students to the Global Learning Medallion program.

### **Lakeview South**

Lakeview South sponsored “Get in Formation for Change” which challenged students to learn more about the Black Lives Matter Movement and create posters which were hung in the hall to raise awareness for the movement. “Privilege Ice Cream Social” engaged students in a conversation about privilege using ice cream as a medium. Privilege was determined by flavor of ice cream which then determined access to toppings and where students sat.

## **Panther Hall**

Panther Hall hosted a program “Around the World in 80 Minutes” which transformed different lounges into different cultures and included food, music, art, and other cultural artifacts.

## **Parkview Hall**

Parkview Hall hosted a program “The Melting Pot” where students were engaged in a conversation about their views on diversity while sharing their own cultural practices and beliefs.

## **Global Learning and Diversity Committee**

The Global Learning and Diversity Committee hosted a program “Realize & Recognize Religion” during which students were challenged to breakdown the stereotypes of several major religions. “Run, Walk, & Roll” was a program in conjunction with FIU’s Diversity Week that promoted awareness of ability as a form of diversity through use of the Nature Preserve on campus. “Code Red AIDS Awareness Block Party” was a program that encouraged AIDS awareness and challenged students to set a goal of zero new infections, zero discrimination, and zero AIDS related deaths in the world.

## **6. STUDENT EMPLOYMENT**

Each year, FIU joins Colleges and Universities nation-wide to celebrate Student Employment Week. The University takes great pride in preparing our nation’s work force by providing quality education and the opportunity for students to apply classroom learning on the job. Nearly two-thirds of today’s college students hold part- or full-time jobs while in school and it is for this reason that FIU recognizes and awards these students. During “Student Employment Week”, celebrated during the week of April 13th - 17th, 2015, the University sponsored several events recognizing our student employees, and awarded 4 Finalist and the recipient of the “SEOTY” Student Employee of the Year Award.

Approximately 33% of our workforce is comprised of student employees, here at FIU. While the faculty challenge our student body academically, their supervisors mentor, encourage, and support their early career development. Together, it makes for an interesting and worthwhile experience. The student employment population reflects a diverse profile among our general student population at FIU. Student positions at FIU are filled without regard to race, color, gender, gender expression, gender identity, age, religion, sexual orientation, disability, marital status, veteran status or national origin.

<b>Total Number of Student Employees-All FIU Campus</b>		<b>2016</b>
<b>Sex</b>	Females	1108
	Males	910
	Unknown	0
<b>Total</b>		2,018
<b>Ethnic Group</b>	Not Disclosed	2



	American Indian/Alaska Native	5
	Asian	126
	Black/African American	441
	Hispanic/Latino	1200
	Not Specified	2
	Native Hawaiian/Other Pacific Islander	6
	White	236
<b>Total</b>		2,018

## 7. EDUCATION AND WORK ENVIRONMENT

Florida International University is a vibrant, student-centered public research university. FIU is worlds ahead in its commitment to learning, research, entrepreneurship, innovation, and creativity so that our graduates are prepared to succeed in a global market. Being world's ahead means not only educating and developing tomorrow's global leaders who will have a great cultural, social and economic impact on the surrounding South Florida community, but to also identify the issues facing these communities and implementing the solutions. With the dedication and contributions of faculty, 96 percent of whom hold a doctorate or the highest degree attainable in their fields, and some 4,000 plus employees, FIU is destined to realize its mission.

## PART IV. GENDER EQUITY IN ATHLETICS

**Chart 1. Gender Equity in Athletics Update**

<b>Element</b>	<b>Assessment</b>	<b>Area for improvement</b>
1. Sports offerings	Equitable. FIU sponsors eleven Division I sports for women and seven Division I sports for men. Currently, the University sponsors every women's sport with a championship offered by Conference USA.	
2. Participation rates, male and female, compared with full-time undergraduate enrollment	Female participation rates are lower than female undergraduate enrollment. The enrollment of female undergraduate students is at 56% and female student-athlete participation is a 50.1%.	Yes
3. Availability of facilities, <i>defined as locker room, practice, and competitive facilities</i>	Equitable. The FIU arena provides recently upgraded locker room facilities for women's and men's basketball (identical), women's and men's soccer (identical), volleyball, beach volleyball, men's and women's track & field. The baseball, softball, golf, and tennis locker rooms are in the planning process to be either a new facility (softball and golf) or a newly renovated upgrade to existing locker room (baseball and tennis). All programs train and compete in equitable facilities.	

4. Scholarship offerings for athletes	Equitable. FIU provides the maximum NCAA permissible scholarships for each of our women's sports.	
5. Funds allocated for:		
a) the athletic program as a whole	Equitable. Funds allocated for women's sports are comparable to that of their male counterparts. Both are provided with the necessary resources to compete in Conference USA.	
b) administration	Equitable. Funds allocated for administrators are comparable and equitable without regard to gender.	
c) travel and per diem allowances	Equitable. Travel allocations are provided in an equitable manner. Per diem is allocated as per the Florida Statute. Travel mode and method is determined by our travel policy, but generally outside the state regardless of sport program is by commercial airline (with the exception of football due to the number of participants), and travel within the state is usually by bus or on occasion by twelve passenger van depending on size of team. All programs have funds allocated to insure safety in travel and a good student-athlete experience.	
d) recruitment	Equitable. Funds allocated for recruiting are comparable both the women's and men's sport programs. All programs have successfully recruited, regionally, nationally and internationally.	
e) comparable coaching	Equitable. Experience and number of coaches available in women's programs are comparable to their male counterparts. Coaches are compensated equitably when compared to their Conference USA counterparts. Differences in pay between male and female coaches are driven by market value in that particular sport.	
f) publicity and promotion	Equitable. The marketing and promotion of our sports programs is equitable by like sports and accomplished through website, media relations efforts, weekly stories and releases, and our newly formed video department that streams all non-televised home competitions in our team sports of women's and men's soccer, volleyball, women's and men's basketball, softball and baseball. Materials for promotion (i.e., posters, schedule cards) is equitable among like sports.	
g) other support costs	Equitable. Student-Athlete development and CHAMPS programming opportunities are provided for all sport programs in an equitable manner. An additional sport operation coordinator is currently posted and will now provide all sport programs with operations assistance with program travel, recruiting logistics, etc.	
6. Provision of equipment and supplies	Equitable. Each sport is provided the equipment and supplies necessary to compete in an equitable manner. Results from experience surveys indicate student-athletes from all sports regardless of gender would want more practice and training gear. We will continue efforts to enhance opportunities through our Adidas partnership.	
7. Scheduling of games and practice times	Equitable. Teams that share facilities alternate or agree on a practice schedule annually. Regular practice schedules are secured each term to ensure continuity and student-athlete class scheduling. Women's and men's basketball and volleyball are the sports that share a facility. In the Fall volleyball takes priority and in the Winter/Spring the basketball programs have preference of practice times. All games are scheduled equitably.	
8. Opportunities to receive tutoring	Equitable. An academic coordinator is assigned to each of the FIU athletic teams. A full-time SAAC staff member oversees a staff of approx. 54 tutors. These tutors are available to our student-athletes for entry-	

	level courses to upper division courses required for undergraduate majors. All student-athletes have equitable access to schedule tutoring on their own or through their academic coordinator or through the convenience of GradesFirst.	
9.Compensation of coaches and tutors	Equitable. Coaches are compensated equitably when compared to their Conference USA counterparts. Differences in pay between male and female coaches are driven by market value in that particular sport. All tutors, independent of assignments to students, teams or gender are paid equivalently and are selected to work with our student-athlete population after a rigorous selection process. During the interview process, all potential tutors are reviewed by the SAAC Tutor Coordinator where they must meet the qualifications for their specific content area.	
10.Medical and training services	Equitable. Each sport is assigned a Certified Athletic Trainer (ATC), and women's and men's teams have equal access to training room facilities and ATC's. All student-athletes have equal access to treatment, referrals, rehabilitation, and any medical care needed.	
11.Housing and dining facilities and services	Equitable. Each student-athlete either lives in on-campus housing, lives at home or receives an identical stipend for off-campus housing based on their scholarship. The students receive housing options on an equivalent basis. Students in on-campus housing receive equivalent meal plans based on scholarship level and those living off-campus receive an equivalent meal stipend based on their scholarship.	

## A. Areas for Improvement

**Chart 2. Gender Equity in Athletics - Areas for Improvement**

Areas for improvement	Program for improvement	Timetable
Participation Rates	Full scholarship opportunities were offered for all women's programs in 2016. The beach volleyball program completed its second full season with the full allotment of NCAA allowable scholarships. The department will continue work on the participation rates by encouraging female participation throughout all eleven women's sport programs while capping the male rosters of the seven men's sport programs.	Ongoing through 2015-2016 and 2016-2017.

## B. Basis for Compliance

- ☐ Accommodation of interests and abilities  
☐ Substantial proportionality  
☒ History and practice of expansion of sports

**Chart 3. Male and Female Athletics Participation Rates**

	Males	Females				Totals						
	2012-13	2013-14	2014-15	2015-16	2012-13	2013-14	2014-15	2015-16	2012-13	2013-14	2014-15	2015-16
Baseball	35	35	35	35	0	0	0	0	35	35	35	35
Basketball	16	16	15	13	15	15	18	13	31	31	33	26
Golf	0	0	0	0	7	9	8	8	7	9	8	8
Softball	0	0	0	0	21	20	21	25	21	20	21	25
Swimming	0	0	0	0	27	27	30	26	27	27	30	26
Tennis	0	0	0	0	6	9	7	9	6	9	7	9
Cross Country	0	0	0	9	0	0	0	14	0	0	0	23
Indoor Track & Field	0	0	0	24	0	0	0	40	0	0	0	64
Outdoor Track & Field	25	25	25	25	43	44	36	39	68	69	61	64
Volleyball	0	0	0	0	19	18	20	18	19	18	20	18
Soccer	24	25	25	27	26	25	24	26	50	50	49	53
Football	99	90	101	101	0	0	0	0	99	90	101	101
Beach Volleyball	0	0	0	0	18	24	24	17	18	24	24	17
Total Participants	199	191	201	234	182	191	188	235	381	382	389	469
% of Participants	52.2%	50.0%	51.7%	49.8%	47.7%	50.0%	48.3%	50.1%				
<b>Fall 2015 EF2A Student Enrollment</b>	22,008	23,288	23,614	23,534	28,369	29,635	30,425	30,509				
Percent Student Enrollment	43.6%	43.9%	44.0%	44.0%	56.2%	55.9%	56%	56%				

Numbers are based on anyone who was eligible to compete the last day prior to the first date of competition in the sports' competitive season. Unlike previous years included are all the track participants instead of the un-duplicated counts.

**Chart 4. Female Enrollment Rates Compared to Participation Rates 2014-2015 and 2015-2016**

Women Athletes	2014-2015	2015-2016	Gap Difference
Enrollment	56%	56%	0.0%
Participation	48.3%	50.1%	1.8%
			1.8%

According to the following table, in Fall 2015, females were 56% of students enrolled full-time at the University compared to 50.1% of student-athletes. This component does not meet compliance due to the more than 5% gap between the percentage of participants and the percentage of female students enrolled in Fall AY 2015.

## **Program Overall Effectiveness**

The Department of Intercollegiate Athletics at FIU is committed to ensuring equity and Title IX compliance. Our student-athletes are offered highly effective and quality services that include sports medicine, strength and conditioning, academic support and success services. The student-athlete population has performed extremely well academically as our student-athletes have posted their highest overall grade-point-average (3.1) on record. In addition, 273 have been named to the FIU and Conference USA Academic Honor Roll.

In AY 2015-16 the Athletic Department continued efforts to increase the participation rates of females versus male student-athletes. Proactively inviting walk-ons to our eleven female sports programs and placing a roster cap on the seven male sports will continue to be methods of managing and monitoring progress in this area. Our coaching staff is cognizant of our participation number goals and will continue efforts to increase the female participants for AY 2016-2017. These strategies along with hiring top-level head coaches for women's sports to attract more female student-athletes continue be implemented and will continue to impact in narrowing the gap.

The department continues with the plans on an ongoing basis to improve facilities. In AY 2015-2016, facility improvements were completed including a hammer/discus throws cage for our track student-athletes and a dry land training area for our women's diving program. Architectural designs are at 60% completion for a new building to be the home of our softball and golf programs. The building is adjacent to our softball stadium (first base line) and short course golf area and will have locker rooms, coaches' offices, a training room, and public restrooms. The building that currently houses our softball and tennis teams will be completely upgraded and renovated for the tennis programs and beach volleyball. This project will be under construction in AY 2016-2017.

The Department of Intercollegiate Athletics continues to emphasize excellence in academics, community involvement, and competition. Emphasis on giving back is encouraged and has been recognized as the FIU student-athletes were awarded the inaugural NCAA Team Works Award for the school logging the most community service hours last year. For the current reporting year that milestone was surpassed by 300 additional hours. All academic services (e.g., tutoring services, computer lab, and academic advising) and the academic facility have been further enhanced and services continue to be offered across all disciplines and are available irrespective of gender to assist the student-athlete in achieving academic success.

## PART V. EMPLOYMENT REPRESENTATION

The guidelines for the employment equity measures the achievement of appropriate representation in selected faculty and administrative employment categories. Employment data is derived from the IPEDS Fall Staff Report, which is completed annually by each university.

Chart 1. Category Representation – Tenured Faculty												
	NRA	B	AI/AN	A	H	NH/ OPI	W	≥ Two	UNK	Female	Male	Total
Number, Fall 2015	8	27	2	104	69	0	282	0	0	151	341	492
Number, Fall 2014	10	29	2	97	65	0	281	0	0	152	332	484
Percentage Change From Fall 2014 to 2015	-20.0%	-6.9%	0.0%	7.2%	6.2%	N/A	0.36%	N/A	N/A	-0.66%	2.7%	1.7%
Number, Fall 2010	6	24	0	64	60	0	284	0	0	118	320	438
Percentage Change from Fall 2010 to Fall 2015	33.3%	12.5%	N/A	62.5%	15.0%	N/A	-0.70%	N/A	N/A	27.9%	6.6%	12.3%
Area for Improvement Compared With National Standards? (Check if Yes)												
Source: IPEDS 2010 Fall Staff, IPEDS Human Resources 2014 and IPEDS Human Resources 2015 Preliminary Data. IPEDS Human Resource 2014-15 and 2015-16, instructional faculty only. Does not include Research or Public Service only faculty. IPEDS Human Resource 2014-15 and 2015-16 aligned with 2010 Standard Occupational Category (SOC) System.												

Chart 2. Category Representation – Tenure-Track Faculty												
	NRA	B	AI/AN	A	H	NH/ OPI	W	≥ Two	UNK	Female	Male	Total
Number, Fall 2015	46	6	2	34	17	0	125	0	0	97	133	230
Number, Fall 2014	46	7	2	36	19	0	130	0	0	104	136	240
Percentage Change From Fall 2014 to 2015	-0.0%	-14.3%	0.0%	-5.6%	-10.5%	N/A	-3.9%	N/A	N/A	-6.7%	-2.2%	-4.2%

Number, Fall 2010	39	10	1	31	20	0	95	0	0	84	112	196
Percentage Change from Fall 2010 to Fall 2015	17.9%	-40.0%	100.0 %	9.7%	-15.0%	N/A	31.6%	N/A	N/A	15.5%	18.7%	17.3%
Area for Improvement Compared With National Standards? (Check if Yes)												
Source: IPEDS 2010 Fall Staff, IPEDS Human Resources 2014 and IPEDS Human Resources 2015 Preliminary Data. IPEDS Human Resource 2014-15 and 2015-16, instructional faculty only. Does not include Research or Public Service only faculty. IPEDS Human Resource 2014-15 and 2015-16 aligned with 2010 Standard Occupational Category (SOC) System.												

Chart 3. Category Representation – Non-Tenure Earning Faculty or Faculty at Non-Tenure Granting Universities												
	NRA	B	AI/AN	A	H	NH/OPI	W	≥ Two	UNK	Female	Male	Total
Number, Fall 2015	34	41	1	30	135	0	265	4	0	270	240	510
Number, Fall 2014	37	40	0	25	122	0	257	3	0	259	225	484
Percentage Change From Fall 2014-2015	-8.1%	2.5%	N/A	20.0%	10.7%	N/A	3.1%	33.3%	N/A	4.2%	6.7%	5.4%
Number, Fall 2010	14	20	0	16	59	0	148	0	0	128	129	257
Percentage Change from Fall 2010 to Fall 2015	142.9 %	105.0 %	N/A	87.5%	128.8 %	N/A	79.1%	N/A	N/A	110.9%	86.1%	98.4%
Area for Improvement Compared With National Standards? (Check if Yes)												
Source: IPEDS 2010 Fall Staff, IPEDS Human Resources 2014 and IPEDS Human Resources 2015 Preliminary Data. IPEDS Human Resource 2014-15 and 2015-16, instructional faculty only. Does not include Research or Public Service only faculty. IPEDS Human Resource 2014-15 and 2015-16 aligned with 2010 Standard Occupational Category (SOC) System.												

Chart 4. Category Representation – Executive/Administrative/Managerial												
	NRA	B	AI/AN	A	H	NH/ OPI	W	≥ Two	UNK	Female	Male	Total
Number, Fall 2015	5	103	2	33	385	0	306	5	0	487	352	839
Number, Fall 2014	12	99	2	32	364	0	341	4	0	511	343	854
Percentage Change From Fall 2014 to 21015	-58.3%	4.0%	0.0%	3.1%	5.8%	N/A	-10.3%	25.0%	N/A	-4.7%	2.6%	1.8%
Number, Fall 2010	10	69	1	22	262	0	278	0	0	380	262	642
Percentage Change from Fall 2010 to Fall 2015	-50.0%	49.3%	100.0 %	50.0%	46.9%	N/A	10.1%	N/A	N/A	28.2%	34.4%	30.7%
Area for Improvement Compared With National Standards? (Check if Yes)												
Source: IPEDS 2010 Fall Staff, IPEDS Human Resources 2014 and IPEDS Human Resources 2015 Preliminary Data. IPEDS Human Resource 2014-15 and 2015-16, instructional faculty only. Does not include Research or Public Service only faculty. IPEDS Human Resource 2014-15 and 2015-16 aligned with 2010 Standard Occupational Category (SOC) System.												

## PART VI. AREAS OF IMPROVEMENT AND ACHIEVEMENT

### Areas of Improvement Identified in the 2016 Report

Although the female student-athlete participation rate continues to trend in narrowing the gap of the female undergraduate enrollment, the rate remains greater than the allowable 3-5% difference. However in AY 2015-16 the student-athlete male and female participation rates were relatively equal with a slightly higher rate of female participation. This is a significant result achieved with our efforts to reduce the gap in male vs female participation rates (roster capping for men and encouraging females to walk-on and full NCAA permissible beach volleyball scholarships). These efforts will continue in order to further close the participation rate gap.

### Achievement Report for Areas of Improvement Pertaining to Gender Equity in Athletics Identified in the Previous Report, June 2015

Our women's athletics programs continue to thrive. FIU' swimming and diving program won its second consecutive Conference USA Championship in AY 2016. The dominant performance by the swimming and diving team scored the second most points in Conference USA history and beat the second place team by 318 points. The lady Panthers won 28 total medals, including 15



gold and set seven school records. Our freshman Naomi Ruele qualified for the 2016 Summer Olympics in Rio de Janeiro in the 50-meter freestyle. She will proudly represent her country of Botswana. Our golfer Meghan MacLaren was named Conference USA golfer of the year and won the Conference USA Championships for the second consecutive year. MacLaren became just the second golfer in Conference USA history to win back-to-back individual titles. During the 2015-16 academic year FIU student-athletes obtained the highest overall grade-point-average (3.1) on record. During the 2016 Spring semester, 273 student-athletes registered GPAs of 3.0 or better and 143 Panthers were named to the FIU Dean's list, recording GPAs over a 3.5. Architectural designs are in the 60% range for a new building to house locker rooms, coaches' offices, public restrooms and training room for our women's softball and golf programs. In addition, the current locker room facility for the tennis and beach volleyball teams is undergoing a renovation. This past year, construction was completed for various facilities, including a new dryland diving practice area; a field and throw events cage, and shot put circles.

### **Achievement Report, 2016**

#### **NEW HIRES**

<b>DISCIPLINE</b>	<b>GOAL</b>	<b>ACHIEVEMENT</b>	<b>RACE</b>	<b>GENDER</b>
Science and Mathematics - Tenured/Tenure-Earning Faculty	2	Minority	Minority	M
Science and Mathematics - Tenured/Tenure-Earning Faculty	1	Minority		F
Science and Mathematics - Non-Tenure-Earning Faculty	2	Minority	Minority	M
Science and Mathematics - Non-Tenure-Earning Faculty	1	Minority	Minority	F
Science and Mathematics - Non-Tenure-Earning Faculty	2	Minority		F
Social Science - Tenured/Tenure-Earning Faculty	3	Minority	Minority	M
Social Science - Tenured/Tenure-Earning Faculty	2	Minority	Minority	M
Social Science - Tenured/Tenure-Earning Faculty	4	Minority		F
Social Science - Non Tenure-Earning Faculty	3	Minority	Minority	M
Social Science - Non Tenure-Earning Faculty	1	Minority	Minority	F
Social Science - Non Tenure-Earning Faculty	1	Minority		F
Performing & Visual Arts - Tenured/Tenure-Earning Faculty	2	Minority		F

The University continues to use funding from the Budgetary Incentive Plan to address areas of improvement. We continue to emphasize recruitment announcements in minority publications and have solicited the use of search firms to assist the University in hard to recruit areas. These initiatives have assisted in minority growth over the last several years.

#### **Employment Representation:**

- The employment related goals were achieved
- 106 Faculty positions were filled
- Fifty (50) positions were filled with females

**PART VII. PROTECTED-CLASS REPRESENTATION IN THE TENURE PROCESS  
2014-2015**

Sex, Race/Ethnicity	*Applied	*Withdrawn	*Denied	*Deferred	*Nominated
<b>MALES</b>					
American Indian or Alaskan Native	0	0	0	0	0
Asian	6	0	2	0	4
Black or African American	1	0	0	0	1
Hispanic	2	0	0	0	2
Native Hawaiian/Other Pacific Islander	0	0	0	0	0
Two or More Races	0	0	0	0	0
White	14	0	1	1	13
Other, Not Reported	0	0	0	0	0
<b>Total Male (include Other, Not Reported)</b>	<b>23</b>	<b>0</b>	<b>3</b>	<b>1</b>	<b>20</b>
<b>FEMALES</b>					
American Indian or Alaskan Native	0	0	0	0	0
Asian	3	0	0	0	3
Black or African American	2	0	0	1	2
Hispanic	1	0	0	0	1
Native Hawaiian/Other Pacific Islander	0	0	0	0	0
Two or More Races	0	0	0	0	0
White	12	0	0	0	12
Other, Not Reported	0	0	0	0	0
<b>Total Female (Number and Percent) (include Other, Not Reported)</b>	<b>18</b> <b>44%</b>	<b>0</b> <b>0%</b>	<b>0</b> <b>0%</b>	<b>1</b> <b>50%</b>	<b>18</b> <b>47%</b>
<b>GRAND TOTAL</b>	<b>41</b>	<b>0</b>	<b>3</b>	<b>2</b>	<b>38</b>

\*Applied: Faculty whose names have been submitted for tenure review. Sum of Withdrawn,

\*Denied: and Nominated (or provide explanation).

\*Withdrawn: Faculty who withdrew from tenure consideration after applying for review.

\*Denied: Faculty for whom tenure was denied during the review process.

\*Nominated: Faculty for whom tenure is being recommended by the University.

**PART VIII. PROMOTION AND TENURE COMMITTEE COMPOSITION  
2014-2015**

Type of Committee	Black or African American		American Indian/Alaskan Native		Asian		Native Hawaiian or Other Pacific Islander		Hispanic		Two or More Races		White		Other, Not Reported		Total including Other, Not Reported	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
<b>University Committee</b>																		
No University-wide committee																		
<b>College of College, Architecture and the Arts</b>																		
Advertising and Public Relations	0	0	0	0	0	0	0	0	0	1	0	0	1	1	0	0	1	2
Journalism	0	0	0	0	0	0	0	0	1	1	0	0	2	2	0	0	3	3
School of Music	0	0	0	0	0	0	0	0	1	0	0	0	3	1	0	0	4	1
<b>College of Arts, Science and Education</b>																		
Biology	0	1	0	0	1	1	0	0	4	1	0	0	24	14	0	0	29	17
Chemistry and Biochemistry	0	0	0	0	4	4	0	0	4	1	0	0	18	3	0	0	26	8
Earth and Environment	1	0	0	0	6	2	0	0	4	1	0	0	13	3	0	0	24	6
English	1	3	0	1	0	3	0	0	1	2	0	0	23	21	0	0	25	30
Leadership and Professional Studies	2	1	0	0	1	3	0	0	1	6	0	0	5	10	0	0	9	20
Mathematics and Statistics	3	1	0	0	12	6	0	0	4	3	0	0	18	5	0	0	37	15
Physics	0	0	0	0	7	1	0	0	1	0	0	0	15	3	0	0	23	4
Psychology	0	1	0	0	1		0	0	1	0	0	0	6	6	0	0	8	7
Teaching and Learning	0	0	0	0	1	0	0	0	0	0	0	0	2	1	0	0	3	1
<b>College of Business</b>																		
Management and International Business	0	1	0	0	1	0	0	0	0	0	0	0	3	4	0	0	7	6
School of Accounting	0	0	0	0	2	1	0	0	0	0	0	0	0	0	0	0	2	1

Type of Committee	Black or African American		American Indian/ Alaskan Native		Asian		Native Hawaiian or Other Pacific Islander		Hispanic		Two or More Races		White		Other, Not Reported		Total including Other, Not Reported	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
<b>College of Engineering and Computing and Computer Sciences</b>																		
Civil and Environmental Engineering	0	0	0	0	1	0	0	0	1	0	0	0	12	4	0	0	31	8
Computer and Information Sciences	3				11	2			3	2								
Construction Management									1	0								
Electrical and Computer Engineering					1													
Mechanical and Materials Engineering	1				3	1												
<b>College of Nursing and Health Sciences</b>																		
Physical Therapy	1	0	0	0	0	0	0	0	0	0	0	0	0	3	0	0	0	3
<b>College of Law</b>																		
Law	3	0	0	0	0	1	0	0	4	2	0	0	4	0	0	0	14	7
<b>School of International and Public Affairs</b>																		
Criminal Justice	0	0	0	1	0	1	0	0	2	0	0	0	1	3	0	0	3	4
Economics	0	0			3	0			1				6	4			10	4
Global and Sociocultural Studies	3	1			2	1			4	1			11	6			20	9
History		3								1			5	7			5	11
Modern Languages	1								4	3			1	2			6	5
Religious Studies	1				1	0			1	1			6	1			9	2
<b>School of Public Health and Social Work</b>																		
Health Promotion and Disease Promotion	0	1	1	1	0	0	0	0	0	1	0	0	1	0	0	0	2	3

## **PART IX. OTHER REQUIREMENTS**

### **A. The Budgetary Incentive Plan**

FIU is committed to a diverse workforce where the contributions of each member of our faculty, administration, and staff are respected and valued. Our objective is to provide current and potential employees with an equal opportunity to compete for employment and advancement opportunities. Our diverse student body of more than 54,000 students from more than 154 countries is reflective of the world around us. FIU will continue to take affirmative steps to ensure that we maintain a diverse workforce to educate and serve our diverse student body.

FIU's outreach and recruitment efforts are coordinated by the Office Talent Acquisition and Management and reflect a University commitment and a team approach to increasing faculty and staff diversity. The recruitment team consists of the hiring department, the Division of Human Resources, and Academic Affairs. One of our priorities is to continue the recruitment and retention of administrators, faculty, and staff from various backgrounds and academic disciplines by identifying and advertising in venues specific to open positions. Each hiring official is encouraged to support the use of collective efforts to cast the net wide in search of qualified faculty and administrative applicants. This is one component of the University's strategic efforts to provide equal opportunity to all applicants and to eliminate discrimination against any group or individual. FIU will recruit, hire, and promote persons without regard to race, color, religion, age, disability, sex, sexual orientation, national origin, marital status, or veteran status. This effort also includes recruitment announcements in minority publications, outreach to the various Minority Caucuses and Sub-Groups within the discipline, e.g. the Black Women of the American Psychological Association, etc. Local, national, and regional affinity groups, and constituency groups are contacted and informed of FIU's employment opportunities.

The University continued to use funding from the Budgetary Incentive Plan to address areas of improvement. We will review and assess our progress on an on-going basis during the year.

### **B. President's Evaluation**

Each university President shall be evaluated on the results of the Florida Equity Reports. The University President's performance is evaluated annually consistent with the provisions of his employment contract and Florida Board of Governors Regulation 1.001 (5) (f). The process for evaluating the President's progress towards equity and diversity goals begins with the President's self-evaluation of his annual goals submitted to the Board of Trustees (BOT) Chair.

The BOT Governance Committee provided President Rosenberg with a written assessment of its evaluation, and the Committee presented its written assessment and recommended performance rating for BOT Full Board approval. Claudia Puig, Chair of the Florida International University Board of Trustees, led the discussion on the University's 2014-2015 Annual Accountability Report and the President's performance during the 2014-2015 academic year.

The BOT conducted its annual evaluation of President Rosenberg at the March 2016 BOT meeting. In sum, based on the goals approved by the Board, executive performance ratings, the President's overall performance and accomplishments for the 2014-2015 academic year, the BOT adopted a rating of "Superior" for President Rosenberg for the 2015-15 Academic Year. The President's self-evaluation along with the President's Management Review for 2014-2015 is available on the FIU Board of Trustees website.

## APPENDIX A

Special thanks to the following individuals for their contribution to this report:

### **Equity Report Committee**

Charlie Andrews, Academic Advising Center

Emmanuele Archange, Talent Acquisition & Management

Julie Berg, Intercollegiate Athletics

Aquilino Carrodegua, Recreation Services MMC

Luisa Havens, Enrollment Management & Services

Lynn Hendricks, Housing & Residential Life

Oscar Loynaz, FIU HealthCare Network

Barbara Manzano, Academic Affairs

Sonja Montas-Hunter, University Graduate School

Abilene Pinzon, Academic Affairs

Madelyn Cintron, Office of Analysis and Information Management

Daniel Nicolas, Equal Opportunity Programs & Diversity

Shirlyon McWhorter, Equal Opportunity Programs & Diversity

**Governance Committee Meeting**

Date: September 1, 2016

**Subject: Proposed Amendment to Regulation FIU-1502 Direct Support Organizations**

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**Proposed Committee Action:**

Recommend that the Florida International University Board of Trustees approve the proposed Amendment to Regulation FIU-1502 - Direct Support Organizations, in light of a Florida Supreme Court decision, Enock Plancher v. UCF Athletic Association, Inc., et al. (Supreme Court of Florida, No. SC13-1872; May 28, 2015).

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**Background Information:**

Regulation FIU-1502 - Direct Support Organizations is being amended to comport with a *Plancher* Florida Supreme Court decision identifying recommended oversight mechanisms for University direct support organizations, including that (i) each DSO's annual budget be approved by the University Board of Trustees within sixty (60) days from the start of such DSO's fiscal year; (ii) the University have the right to audit each DSO's books, records and operations from time to time as it deems appropriate; and (iii) the University President have the right to appoint certain members of the University's administration, faculty, student body or the public to serve as members of a DSO's Board of Directors and Executive Committee.

Board of Governors' Regulation 9.011(1) states that each board of trustees shall establish conditions with which a support organization must comply in order to use university property, facilities, or personal services and such additional conditions, controls, and requirements for support organizations as each board deems appropriate to provide for budget and audit review and oversight.

Board of Governors' Regulation 1.001(3)(j) states that each board of trustees is authorized to promulgate university regulations in accordance with the Regulation Development Procedure adopted by the Board of Governors.

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**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
FLORIDA BOARD OF GOVERNORS**

**NOTICE OF PROPOSED AMENDMENT**

**REGULATION NO.:** FIU-1502  
**REGULATION TITLE:** Direct Support Organizations.

**SUMMARY:** As a result of a recent decision by the Florida Supreme Court noting recommended oversight mechanisms for University direct support organizations, the University proposes to update its own DSO regulation – FIU Regulation 1502 -- by making several modest additions that would bring FIU into alignment with the Florida Supreme Court decision. These changes include requiring that (i) each DSO's annual budget must be approved by the University Board of Trustees within sixty (60) days from the start of such DSO's fiscal year; (ii) the University have the right to audit each DSO's books, records and operations from time to time as it deems appropriate; and (iii) the University's President have the right to appoint certain members of the University's administration, faculty, student body or the public to serve as members of a DSO's Board of Directors and Executive Committee.

**TEXT OF REGULATION:** The full text of the Proposed Amendment to Regulation can be viewed below and on the website of The Florida International University Board of Trustees, <http://regulations.fiu.edu>. If you would like a copy of the Proposed Amendment to Regulation, please contact Eli Deville, Departmental Administrator, Office of the General Counsel, (305) 348-2103.

**AUTHORITY:** Resolution of the Florida Board of Governors Regulation 1.001 and 9.011.

**NAME OF PERSON INITIATING PROPOSED REGULATION:** Carlos B. Castillo, General Counsel.

ANY PERSON SEEKING TO COMMENT ON THE PROPOSED AMENDMENT TO REGULATION MUST SUBMIT COMMENTS IN WRITING TO THE CONTACT PERSON LISTED BELOW. ALL WRITTEN COMMENTS MUST BE RECEIVED BY THE CONTACT PERSON WITHIN 14 CALENDAR DAYS OF THE DATE OF PUBLICATION OF THIS NOTICE.

**CONTACT PERSON REGARDING THE PROPOSED AMENDED REGULATION:** Eli Deville, Departmental Administrator, Office of the General Counsel, Florida International University, 11200 SW 8<sup>th</sup> Street, PC 511, Miami, FL 33199. Email: [devillee@fiu.edu](mailto:devillee@fiu.edu) Fax: (305) 348-3272. Phone: 305-348-2103.

**DATE OF PUBLICATION:** July 25, 2016

**THE FULL TEXT OF THE PROPOSED AMENDMENTS TO THE REGULATION ARE BELOW:**

## **FIU-1502 Direct Support Organizations.**

1. The President of the University may recommend to the Board of Trustees that an organization meeting the requirements of Florida law pertaining to Direct Support Organizations (“DSO”) ~~be~~ designated a Florida International University DSO. Upon approval by the Board of Trustees and the Board of Governors, a DSO shall be considered to be certified and authorized to use the property, facilities and personal services of the University.

2. In order to be considered for certification as a DSO, an organization must fulfill the requirements of Florida law pertaining to DSOs, the Board of Governors’ Regulations and must have Articles of Incorporation and Bylaws that together:

a. Provide that any amendments to the Articles of Incorporation or Bylaws must be submitted by the President of the University and to the Board of Trustees for approval prior to becoming effective~~;~~

b. Provide that the organization shall provide equal employment opportunities to all persons regardless of race, color, religion, gender, age, disability, marital status, sexual orientation, veteran’s status or national origin~~;~~

c. Prohibit the giving, directly or indirectly, of any gift to a political committee or committee of continuous existence as defined in the Florida Statutes for any purpose other than those certified by a majority roll call vote of the organization’s governing board at a regularly scheduled meeting as being directly related to the educational mission of the University~~;~~ and

d. Provide that an annual budget, which has been approved by its governing board and recommended by the President of the University, is submitted to the Board of Trustees for review and approval. Such proposed budget shall be approved by the Board of Trustees no later than sixty (60) days after the first day of the fiscal year to which the proposed budget pertains. Each proposed budget shall include therein:

i. Expenditures for the construction of physical facilities, and

ii. Salary supplements, compensation and benefits provided to the President, University faculty, ~~and~~ University staff, and ~~to~~ DSO employees to be paid with assets of the DSO, which shall be specifically identified.

e. Provide that the University shall have the right to audit the books,– records and operations of the organization as the University determines appropriate in the exercise of its oversight.

f. Prepare and submit to the President, no later than the first day of each quarter of the organization’s fiscal year, a quarterly expenditure plan that separately delineates planned actions which would cause a commitment of University resources or which represent a significant commitment of the resources of the DSO, including:

- i. Major fund raising events and campaigns and their purpose~~:-~~
- ii. Compensation and benefits to University employees and employees of the organization~~:-~~
- iii. Capital projects, including land acquisition, construction, renovation or repair~~:-~~  
and
- iv. Other major commitments of the resources of the organization.

g. Have a financial audit of its accounts and records to be conducted by an independent certified public accountant after the close of each fiscal year. The audit report shall be submitted by the President of the University to the Board of Trustees and the Board of Governors no later than the end of the fourth month following the close of the organization's fiscal year.

i. Audits shall be conducted pursuant to ~~the~~ requirements of the Florida Statutes and in accordance with rules adopted by the Auditor General.

ii. The President of the University shall submit the annual audit report to the Auditor General and the Board of Governors no later than nine (9) months after the close of the organization's fiscal year. A DSO must also submit to the Board of Governors its Federal Internal Revenue Service Application for Recognition of Exemption form and its federal Internal Revenue Service Return of Organization Exempt from Income Tax form.

h. ~~—Provide that the DSO assets be distributed for the benefit of the University as directed by the President~~ Board of Trustees of the University if the organization is decertified as a DSO.

~~4.3.~~ The Chair of the Board of Trustees may appoint a representative to the governing body and the executive committee of each DSO. In addition, the President of the University or a designee shall also serve on the governing body and executive committee of each DSO. The President of the University may also appoint other members of the University administration, faculty, student body or public to serve on the governing body and executive committee of each DSO for terms designated by the President of the University as provided in the DSO's Articles of Incorporation and/or Bylaws.

~~2.4.~~ The President of the University shall have the power to:

- a. Monitor and control the use of University resources by the organization~~:-~~
- b. Control the use of the University name by the DSO~~:-~~ and
- c. Monitor compliance of the organization with federal and state laws.

~~1.5.~~ 5. The Director or Chief Operating Officer of a DSO shall report to the University President or designee, who shall be a Vice President of the University or other Senior Officer reporting directly to the University President.

~~2.6.~~ 6. The President of the University may recommend to the Board of Trustees that an organization be decertified as a DSO if the President determines that the organization is no longer serving the best interest of the University. The recommendation for decertification shall include a plan for disposition of the organization's assets and liabilities.

~~3.7.~~ 7. All records of the organization other than the auditor's report, management letter, and any supplemental data requested by the Board of Governors, the University Board of Trustees, the Auditor General or the Office of Program Policy Analysis and Government Accountability shall be confidential and exempt from the provisions of Florida's Public Records Laws.

*Specific Authority Board of Governors Resolution dated January 7, 2003. History–New 5-8-03, Formerly 6C8-6.100, Amended 9-12-08, Amended.*



July 20, 2016

## MEMORANDUM

TO: University Presidents  
Board of Trustees Chairs  
Board of Trustees Audit Committee Chairs

FROM: Alan Levine, Chair  
Audit and Compliance Committee

SUBJECT: Audit Committee Guidance

You may recall, at the June 2016 Audit and Compliance Committee meeting of the Board of Governors, we had a brief discussion about the best practices for composition and placement of the Audit and Compliance Committees of University Boards of Trustees. It is clear each university has a committee responsible for audit. However, it is also evident that some universities combine the audit function with operational functions (such as budget and finance). I raised this issue at the committee meeting primarily to create awareness that this combination of operational functions with audit is not a best practice. The independence of the audit committee, and its function, is important for a variety of reasons, not the least of which is ensuring that audit committee functions do not take a back seat to other pressing university operations issues.

The audit and compliance committee is a key standing committee of any governing board. It is the first line of defense for financial reporting, internal control, risk management and compliance and serves as guardian of the university's most valuable asset: its reputation.

Regarding audit committees, the Association of Governing Boards of Universities and Colleges (AGB), in their 2011 *Survey of Higher Education Governance*, states:

*Through its independence, it ensures accountability and provides oversight of the institution's financial practices and standards of conduct. Also, the presence of an independent audit committee demonstrates board accountability to the general*



University Presidents, Board Chairs, and Audit Committee Chairs  
July 20, 2016  
Page 2 of 2

*public and to prospective board members. Although not required by law, it is good practice for all institutions, public and independent, to have audit committees separate from finance committees.*

Audit and compliance committees should be designated as autonomous committees to enhance independence and mitigate potential conflicts that may exist within joint committees.

The decision about how to structure your committees is one best left to your Board of Trustees in consultation with the President. However, I ask you to consider the importance of independence and autonomy – key factors to providing accountability and oversight – when evaluating your audit and compliance committee’s practices, compositions, and placement. You may wish to consider resources such as the AGB’s Effective Committee Series to benchmark your Board of Trustees audit and compliance committee practices. These documents are available at: <http://agb.org/store/the-effective-committees-toolkit>.

On behalf of the Audit and Compliance Committee of the Board of Governors, I am sincerely grateful for your consideration of this request as we work together to ensure proper oversight and governance for the State University System of Florida. Please feel free to reach out if you have concerns.

cc: Chancellor Criser  
General Counsel Shirley  
Inspector General and Director of Compliance Maleszewski  
Governor Morton  
Governor Huizenga  
Governor Lautenbach  
Governor Link  
Governor Valverde  
Governor Jordan

Florida Universities Finance and Audit Committees

COMPARISON CHART

	<u>Florida Internaitonal University</u>	<u>Florida State University</u>	<u>University of Florida</u>	<u>University of Central Florida</u>	<u>University of South Florida</u>	<u>Florida Gulf Coast University</u>	<u>University of North Florida</u>	<u>Florida Atlantic University</u>	<u>Florida Polytechnic University</u>	<u>University of West Florida</u>	<u>Florida Agricultural &amp; Mechanical University</u>	<u>New College of Florida</u>
FINANCE	Finance and Audit Committee	Finance, Business & Audit Committee	Finance and Facilities	Finance and Facilities	Finance and Audit	Finance, Facilities and Administration Committee	Finance and Audit Committee	Audit and Finance	Finance and Facilities Committee	Finance, Facilities and Operations Committee	Budget and Finance	Finance and Administration Committee
AUDIT			Audit and Operations Review	Audit, Operations Review, Compliance, and Ethics		Audit Committee			Audit and Compliance Committee	Audit and Compliance Committee	Audit and Compliance	Audit Committee

HIGHLIGHTED ENTRIES INDICATE INSTITUTIONS WITH COMBINED FINANCE & AUDIT COMMITTEES

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES**

**FINANCE AND AUDIT COMMITTEE CHARTER  
AUDIT AND COMPLIANCE-RELATED RESPONSIBILITIES**

**PURPOSE**

This charter sets forth the audit and compliance-related responsibilities of the Finance and Audit Committee (the "Committee") of Florida International University (the "University"). One of the Committee's primary functions is to assist the University's Board of Trustees in fulfilling its oversight responsibilities by reviewing procedures in place to assess and minimize significant risks, overseeing the quality and integrity of financial reporting practices (including the underlying system of internal controls, policies and procedures, regulatory compliance programs, and ethical code of conduct), and overseeing the overall audit process.

The Committee's role is one of oversight, not preparation or operation. Its members rely on the representations of Senior Management, General Counsel, the Chief Compliance Officer, the Chief Audit Executive and the Auditor General, other committees of the Board and other professional consultants. The Committee promotes open communication among and between Senior Management, the Chief Audit Executive, the Auditor General, and the Board.

**COMPOSITION AND MEMBER QUALIFICATIONS**

- The Committee consists of at least five members, all of whom are voting Trustees of the University.
- Members shall possess general accounting, business and financial knowledge, including the ability to read and understand fundamental financial statements. At least one member shall have accounting or financial expertise, as defined by the Board.
- Members shall be independent and objective in the discharge of their responsibilities. They are to be free of any financial, family, or other material personal relationship, including relationships with members of University management, University auditors and other professional consultants.
- A simple majority of the Committee membership will constitute a quorum.
- It is the responsibility of the Committee Chair to approve each meeting's agenda and to update the Board on the significant matters discussed by the Committee.



## **GENERAL ACTIVITIES AND RESPONSIBILITIES**

The Committee shall:

- Meet at least four times each year.
- Provide the Board with regular updates of Committee activities and make recommendations to the Board for matters within the Committee's area of responsibility.
- Review the Committee's charter, at least every two years, and recommend any proposed revisions for the Board's approval.
- Meet separately with
  - the Office of Internal Audit without the presence of management;
  - Senior Management, without the presence of the Office of Internal Audit

to discuss any matters the Committee or these individuals believe should be discussed privately. This should be performed at least two times annually, at the conclusion of a regularly scheduled Committee meeting.

- Affirm that the Chief Audit Executive and Chief Compliance Officer are ultimately responsible to the Committee and the Board and they should communicate directly with the Committee Chair when deemed prudent and necessary.
- Have the authority to conduct investigations into any matters within the Committee's scope of responsibilities, set forth below. During such investigations, the Committee shall have unrestricted access to the University's independent auditors and anyone employed by the University, and to all relevant information. The Committee may retain, at the University's expense, independent counsel, accountants and other professional consultants to assist with such investigations. The results of any such investigations must be reported to the Board by the Committee Chair.

## **SPECIFIC RESPONSIBILITIES: INTERNAL CONTROLS AND RISK ASSESSMENT**

The Committee shall consider and review with Senior Management, the Chief Audit Executive and the Chief Compliance Officer, as appropriate, and other relevant offices and Board committees:

- The effectiveness of the University's process for identifying significant financial, operational, reputational, strategic and regulatory risks or exposures and management's plans and efforts to monitor and control such risks.
- The effectiveness of the University's internal controls, including the status and adequacy of information systems and security, for purposes of meeting expectations of the U.S. Sentencing Guidelines, personnel systems internal controls, and other relevant matters.

- The University's oversight and monitoring of its affiliated organizations.
- The University's insurance coverage and the process used to manage any uninsured risks.

### **SPECIFIC RESPONSIBILITIES: COMPLIANCE WITH LAWS, REGULATIONS, POLICIES AND STANDARDS**

The Committee shall:

- Ascertain whether the University has an effective process for determining risks and exposure from asserted and unasserted litigation and other claims of noncompliance with laws and regulations.
- Review and discuss with Senior Management, General Counsel, the Chief Compliance Officer and the Chief Audit Executive:
  - significant results of compliance audits;
  - any significant matters of litigation or contingencies that may materially affect the University's financial statements; and
  - any legal, tax or regulatory matters that may have a material impact on University operations, financial statements, policies and programs.
- Receive information and training regarding specific elements of the University's compliance program.
- Review, through delivery of reports provided by the Chief Compliance Officer, Chief Audit Executive and/or Auditor General:
  - The University's monitoring of compliance with University policies, including (but not limited to) policies regarding the conduct of research.
  - The results of the University's monitoring and enforcement of compliance with University standards of ethical conduct and conflict of interest policies.

### **SPECIFIC RESPONSIBILITIES: FINANCIAL REPORTING**

The Committee shall:

- Consult annually with the CFO regarding the integrity of the University's financial reporting processes and related internal controls.
- Review and approve material, non-mandated changes to accounting policies and practices.

- Advise Senior Management, based upon the Committee's review, whether the Committee believes that the annual audited financial statements (including the footnotes) contain any material misstatements or omissions.
- Review with Senior Management at the completion of the annual financial statement audit:
  - the University's annual financial statements and related footnotes, including their degree of clarity;
  - the Auditor General's opinion regarding the financial statements;
  - any significant changes required to the state auditor's audit plan;
  - any difficulties or disputes with management encountered during the audit, including an overall assessment of management cooperation;
  - the University's accounting principles, including the consistency, appropriateness and quality (not just acceptability) thereof, with particular emphasis on sensitive accounting estimates and accruals;
  - the University's overall level of compliance with governmental regulations;
  - reports concerning internal controls, including significant findings and recommendations and management's response;
  - other matters that should be communicated to the Committee under generally accepted generally accepted auditing standards; and
  - any other financial filings required by law or regulation.

## **SPECIFIC RESPONSIBILITIES: THE OFFICE OF INTERNAL AUDIT**

The Committee shall:

- Evaluate the Office of Internal Audit's role and scope of activities.
- Participate, through the Chair, in the process of the appointment and dismissal of the Chief Audit Executive.
- Review and approve the Office of Internal Audit's annual audit plan (and any subsequent changes thereto), considering the University-wide risk assessment and the degree of coordination with the Auditor General's Office for an effective, efficient, non-redundant use of audit resources.
- Review and discuss with management and the Office of Internal Audit:

- significant findings and recommendations, including management's response and timeframe for corrective action;
  - the degree of implementation of past audit recommendations; and
  - any difficulties encountered in the course of the audit activities such as restrictions on the scope of work or access to information.
- Assess the staffing of the Office of Internal Audit, including the annual budget.
  - Review and approve modifications to the Office of Internal Audit.
  - Review the organizational reporting lines related to the Office of Internal Audit, particularly related to confirming and assuring the continued independence of the Office of Internal Audit and its staff.

#### **SPECIFIC RESPONSIBILITIES: THE OFFICE OF COMPLIANCE & INTEGRITY**

The Committee shall:

- Evaluate the effectiveness of the University's compliance program by:
  - Reviewing the results of the program effectiveness evaluation;
  - Assessing the staffing of the Office of Compliance & Integrity, including the annual budget;
  - Reviewing major modifications to the University's compliance program; and
  - Reviewing compliance-related training topics for the Board.
- Participate, through the Chair, in the process of the appointment and dismissal of the Chief Compliance Officer.
- Review and approve the Office of Compliance & Integrity's annual compliance plan (and any subsequent changes thereto), considering the University-wide risk assessment.
- Review and approve modifications to the Office of Compliance & Integrity.
- Review the organizational reporting lines related to the Office of Compliance & Integrity, particularly related to confirming and assuring the continued independence of the Office of Compliance & Integrity and its staff.

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The Committee has the responsibilities and the powers set forth in this Charter. It is not the responsibility of the Committee to conduct audits or other examinations and investigations, nor to provide assurance regarding compliance with laws, regulations, internal policies and codes of conduct, nor the completeness, accuracy or conformity with generally accepted accounting standards of the University's financial statements.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES**

**FINANCE AND FACILITIES COMMITTEE CHARTER**

**1. Overall Purpose/Objectives**

The Finance and Facilities Committee (“Committee”) is a committee of the Florida International University Board of Trustees (“Board”), whose members are appointed by the Chairperson of the Board. The general purpose of the Committee is to provide review, policy guidance and strategic oversight of the university's financial matters, financial reporting statements, campus master planning activities and other real estate type activities for both the University and its direct support organizations (“DSO”).

For university financial matters, the Committee will review actions to be presented to the Board and provide a recommendation. This includes, but is not limited to, the annual University budget and all tuition, room rents, and other student fees that are required by state statute to be approved by the Board. The committee will schedule and periodically review financial reports from the university’s DSO.

For campus master planning and other real estate matters, the Committee will coordinate the campus master planning process and provide recommendations to the Board for action. The Committee will **annually** review the capital improvement plan submissions to the Board of Governors and State legislature, and periodically review programs that ensure the maintenance and safety of University facilities. The Committee will review any real estate related projects or facilities involving the University or any of its DSOs, or any other university entities that may arise in the future by whatever designation, and make recommendations to the full Board. The Committee will participate in, review and approve the planning process for any DSO-initiated program that will materially affect the University either financially or in reputation, or involve any real estate related matters on or off campus.

**2. Authority**

The Board authorizes the Committee to:

- 2.1 Perform activities within the capacity of its charter.
- 2.2 Participate, through the Chair, in the process of the appointment and dismissal of the Chief Financial Officer.
- 2.3 Engage independent counsel and other advisers as it deems necessary to carry out its duties, with approval of the Board or the President.
- 2.4 Have unrestricted access to management, faculty and employees of the

University and its DSOs, as well as to all books, records, and facilities thereof.

### **3. Organization Membership**

- 3.1 The Chair of the Board of Trustees will appoint the chair and members of the Committee.
- 3.2 The Committee consists of at least [REDACTED] members, all of whom are voting Trustees of the University.
- 3.3 A majority of Committee members, if not all, shall possess general accounting, business and financial knowledge, including the ability to read and understand fundamental financial statements.
  - 3.3.1 If possible the Committee will include at least one member who is a "accounting or financial expert"; a person who has an understanding of generally accepted accounting principles and financial statements; the ability to assess the application of these principles in connection with accounting for estimates, accruals and reserves; and an understanding of committee functions; experience preparing financial statements, or experience actively supervising persons engaged in such activities. The person must have acquired these attributes through one or more of the following: education or experience actually doing these functions or similar ones; actively supervising someone who is performing these functions or similar ones; experience overseeing or assessing the performance of companies or public accountants who are preparing or evaluating financial statements; or other relevant experience.
- 3.4 Members will serve on the Committee until their resignation or replacement by the Chair of the Board.

### **4. Meetings**

- 4.1 A simple majority of the members of the Committee will constitute a quorum for the transaction of business.
- 4.2 Meetings shall be held not less than [REDACTED] times per year and shall correspond with the University's financial reporting cycle.
- 4.3 The Committee shall maintain written minutes of its meetings, and for the Committee Chair to approve each meeting's agenda.
- 4.4 The Vice President for Finance and Administration, who has operational responsibility for facilities planning, will be the liaison to the Committee from the FIU Administration. Said Vice President will regularly meet and correspond with the Chair of the Committee and in consultation with the Chair, prepare the agenda for meetings of the Committee. Said Vice President will further advise and keep

informed, as needed, both the President and the Chair of the Board on a regular basis regarding matters brought before and actions taken by the Committee.

- 4.5 The Committee shall provide regular updates of Committee activities to the Board for matters within the Committee's area of responsibility.
- 4.6 The Committee may request special presentations or reports that may enhance members' understanding of their responsibilities.
- 4.7 It is the intent of the Committee for matters within its purview to come before the Committee as early as possible so that the Committee can issue its recommendations and exercise its oversight at the beginning of any particular project or matter.

## **5. Roles and Responsibilities**

### **FINANCE**

With regard to each item listed below, the committee will:

- 5.1 Review the annual operating budgets of the University and recommend appropriate action to the Board.
- 5.2 Review the financial statements of the University's DSOs, making recommendations for action to the Board as needed; (frequency of review is at the discretion of the committee, but will be not less than    each year).
- 5.3 Review the annual capital budget request of the University and recommend appropriate action to the Board.
- 5.4 Review annual (or interim) changes to the University's tuition and fees and any related policy changes, and recommend appropriate action to the Board.
- 5.5 Review and approve material, non-mandated changes to accounting policies and practices.
- 5.6 Advise Senior Management, based upon the Committee's review, whether the Committee believes that the annual audited financial statements (including the footnotes) contain any material misstatements or omissions.
- 5.7 Review with Senior Management at the completion of the annual financial statement audit:
  - 5.7.1 the University's annual financial statements and related footnotes, including their degree of clarity;



- 5.7.2 the Auditor General's opinion regarding the financial statements;
  - 5.7.3 any significant changes required to the state auditor's audit plan;
  - 5.7.4 any difficulties or disputes with management encountered during the audit, including an overall assessment of management cooperation;
  - 5.7.5 the University's accounting principles, including the consistency, appropriateness and quality (not just acceptability) thereof, with particular emphasis on sensitive accounting estimates and accruals;
  - 5.7.6 the University's overall level of compliance with governmental regulations;
  - 5.7.7 reports concerning internal controls, including significant findings and recommendations and management's response;
  - 5.7.8 other matters that should be communicated to the Committee under generally accepted auditing standards; and
  - 5.7.9 any other financial filings required by law or regulation.
- 5.8 Consult annually with the CFO regarding the integrity of the University's financial reporting processes and related internal controls.

## **FACILITIES**

- 5.9 Become familiar with the current campus master plan and the philosophies behind its development.
- 5.10 Understand the statutorily required process and frequency of updates to the plan.
- 5.11 Recommend amendments to the plan to the Board.
- 5.12 Recommend appropriate action regarding the acquisition and disposition of real property.
- 5.13 Review material proposed additions to and renovations of existing facilities, to include facilities of the University and DSOs.
- 5.14 Review and recommend to the Board the annual list of capital improvements for funding by the Legislature.
- 5.15 Periodically review and recommend to the Board matters and facilities relating specifically to student housing, both on and off campus and further review a long-term strategic planning program for said student housing.

### **Direct Support Organizations**

- 5.16 Participate in the planning process for any DSO involvement in capital projects that affect the University either financially or in reputation or involve any real estate.
- 5.17 Review, provide oversight with respect to, and provide recommendations to the Board for any actions that may be required stemming from a DSO initiated capital project.

### **Maintenance of Facilities**

- 5.18 Review the effectiveness of the various University and DSO organizations in maintaining the buildings and grounds that are responsibilities of the Board.
- 5.19 Review the effectiveness of University law enforcement in protecting the physical assets of the University and providing a safe environment for the various University constituencies.
- 5.20 Review the effectiveness of the campus organizations responsible for environmental health and safety both in the buildings and on the grounds.
- 5.21 Provide recommended action items to the Board on all of the items above to the Board when necessary.

### **Reporting Responsibilities**

- 5.22 Regularly update the Board about Committee activities and make appropriate recommendations.
- 5.23 Ensure the Board is aware of matters within the purview or responsibility of the Committee that may significantly impact the financial condition or legal liability of the University.

### **Charter Review**

- 5.24 Review the Committee charter at least every        years and discuss any required changes with the Board.
- 5.25 Ensure that the charter is approved or reapproved by the Board, at least every        years.

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES**

**AUDIT AND COMPLIANCE COMMITTEE CHARTER**

**1. Overall Purpose/Objectives**

The Audit and Compliance Committee (“Committee”) is appointed by the Florida International University Board of Trustees (“Board”) to assist it in discharging its oversight responsibilities, including but not limited to, reviewing procedures in place to assess and minimize significant risks, overseeing the quality and integrity of financial reporting practices (including the underlying system of internal controls, policies and procedures, regulatory compliance programs, and ethical code of conduct), and overseeing the overall audit process.

The Committee will oversee the financial operations and reporting process for both the University and its direct support organizations (“DSO”). The committee will review: 1) the University’s internal financial controls and processes; 2) the internal audit function; 3) the independent audit process, including the appointment and assessment of the external auditors for the University; and 4) the DSO and University processes for monitoring compliance with applicable laws and regulations, meeting regulatory requirements and promoting ethical conduct.

**2. Authority**

The Board authorizes the Committee to:

2.1 Perform activities within the capacity of its charter.

2.2 Evaluate the Office of Internal Audit's role and scope of activities.

2.3 Participate, through the Chair, in the process of the appointment and dismissal of the Chief Audit Executive.

2.4 Engage independent counsel and other advisers as it deems necessary to carry out its duties.

2.5 Have unrestricted access to management, faculty and employees of the University and its DSOs, as well as to all books, records, and facilities thereof.

2.6 Develop and review procedures for the receipt, retention and treatment of complaints received from employees regarding financial or operational matters.

2.7 Review and approve the Office of Internal Audit’s annual audit plan (and any subsequent changes thereto), considering the University-wide risk assessment and the degree of coordination with the Auditor General's Office for an effective, efficient, non-redundant use of audit resources

- 2.8 Review and discuss with management and the Office of Internal Audit (1) significant findings and recommendations, including management's response and timeframe for corrective action; (2) the degree of implementation of past audit recommendations; and (3) any difficulties encountered in the course of the audit activities such as restrictions on the scope of work or access to information.
- 2.9 Assess the staffing of the Office of Internal Audit, including the annual budget.
- 2.10 Review and approve modifications to the Office of Internal Audit.
- 2.11 Review the organizational reporting lines related to the Office of Internal Audit, particularly related to confirming and assuring the continued independence of the Office of Internal Audit and its staff.
- 2.12 Review the work of the external auditors for the University and DSOs.
- 2.13 Evaluate the effectiveness of the University's compliance program by (1) reviewing the results of the program effectiveness evaluation; (2) assessing the staffing of the Office of Compliance & Integrity, including the annual budget; (3) reviewing major modifications to the University's compliance program; and (4) reviewing compliance-related training topics for the Board.
- 2.14 Participate, through the Chair, in the process of the appointment and dismissal of the Chief Compliance Officer.
- 2.15 Review and approve the Office of Compliance & Integrity's annual compliance plan (and any subsequent changes thereto), considering the University-wide risk assessment.
- 2.16 Review and approve modifications to the Office of Compliance & Integrity.
- 2.17 Review the organizational reporting lines related to the Office of Compliance & Integrity, particularly related to confirming and assuring the continued independence of the Office of Compliance & Integrity and its staff.

### **3. Organization**

#### **Membership**

- 3.1 The Chair of the Board of Trustees will appoint the chair and members of the Committee.
- 3.2 The Committee consists of at least   members, all of whom are voting Trustees of the University.
- 3.3 A majority of Committee members, if not all, shall possess general accounting, business and financial knowledge, including the ability to read and understand fundamental financial statements.

3.3.1 If possible the Committee will include at least one member who is a "accounting or financial expert"; a person who has an understanding of generally accepted accounting principles and financial statements; the ability to assess the application of these principles in connection with accounting for estimates, accruals and reserves; an understanding of committee functions; experience preparing, auditing, analyzing or evaluating financial statements, or experience actively supervising persons engaged in such activities; and an understanding of internal controls and procedures for financial reporting. The person must have acquired these attributes through one or more of the following: education or experience actually doing these functions or similar ones; actively supervising someone who is performing these functions or similar ones; experience overseeing or assessing the performance of companies or public accountants who are preparing, auditing or evaluating financial statements; or other relevant experience.

3.4 Members shall be independent and objective in the discharge of their responsibilities. They are to be free of any financial, family, or other material personal relationship, including relationships with members of University management, University auditors and other professional consultants

3.5 Members will serve on the Committee until their resignation or replacement by the Chair of the Board.

### **Meetings**

3.6 A simple majority of the members of the Committee will constitute a quorum for the transaction of business.

3.7 Meetings shall be held not less than   times per year and shall correspond with the University's financial reporting cycle.

3.8 The Committee shall maintain written minutes of its meetings, and for the Committee Chair to approve each meeting's agenda.

3.9 The Committee shall meet with the General Counsel, University Compliance Officer, and University Audit Director on a regular basis.

3.10 The Committee may request special reports from University or DSO management on topics that may enhance their understanding of their activities and operations.

## **4. Roles and Responsibilities**

The Committee shall:

4.1 Provide the Board with regular updates of Committee activities and make recommendations to the Board for matters within the Committee's area of responsibility.

- 4.2 Meet separately with the Office of Internal Audit and Senior Management, separately, in order to discuss any matters the Committee or these individuals believe should be discussed privately. This should be performed at least   times annually, at the conclusion of a regularly scheduled Committee meeting.
- 4.3 Affirm that the Chief Audit Executive and Chief Compliance Officer are ultimately responsible to the Committee and the Board and they should communicate directly with the Committee Chair when deemed prudent and necessary.
- 4.4 Have the authority to conduct investigations into any matters within the Committee's scope of responsibilities as set forth herein. The Committee shall have unrestricted access to the University's independent auditors and anyone employed by the University, and to all relevant information in order to conduct such investigations. The Committee may retain, at the University's expense, independent counsel, accountants and other professional consultants to assist with such investigations. The results of any such investigations must be reported to the Board by the Committee Chair.

With regard to each topic listed below, the Committee shall:

#### **Internal Controls**

- 4.5 Consider and review the effectiveness of the University's process for identifying significant financial, operational, reputational, strategic and regulatory risks or exposures and management's plans and efforts to monitor and control such risks.
- 4.6 Evaluate the overall effectiveness of the internal control framework and consider whether recommendations made by the internal and external auditors have been implemented by management, including but not limited to the status and adequacy of information systems and security, for purposes of meeting expectations of the U.S. Sentencing Guidelines, personnel systems internal controls, and other relevant matters.
- 4.7 Understand the internal control systems implemented by management of the University and each DSO for the approval of transactions and the recording and processing of financial data.

#### **Risk Management**

- 4.8 Evaluate the overall effectiveness of the risk management process.
- 4.9 Evaluate the University's oversight and monitoring of its affiliated organizations, and the University's insurance coverage and the process used to manage any uninsured risks.

#### **Financial Reporting and Disclosures**

- 4.10 Review the adequacy of accounting, management, and financial processes of the University and its DSOs.
- 4.11 Review the financial reporting process implemented by management of the University and its DSOs.
- 4.12 Review as applicable for the University and its DSOs: 1) interim financial statements, 2) annual financial statements, 3) the annual report, and 4) the audit report on federal awards that is required under Office of Management and Budget (OMB) Circular A-133.
- 4.13 Review University and DSO management processes for ensuring the transparency of the financial statements and the completeness and clarity of the disclosures.
- 4.14 Meet with University management and the external auditors to review the financial statements, the key accounting policies, the reasonableness of significant judgments, and the results of the audit.

#### **Compliance with Laws, Regulations, Policies and Standards**

- 4.15 Review the independence, qualifications, activities, resources, and structure of the compliance function and ensure no unjustified restrictions or limitations are made.
- 4.16 Review and discuss any significant results of compliance audits; any significant matters of litigation or contingencies that may materially affect the University's financial statements; and any legal, tax or regulatory matters that may have a material impact on University operations, financial statements, policies and programs.
- 4.17 Ensure that significant findings and recommendations made by the university compliance officer are received, discussed, and appropriately acted on.
- 4.18 Review the effectiveness of the system for monitoring compliance with laws and regulations and management's investigation and follow-up (including disciplinary action) of any wrongful acts or non-compliance.
- 4.19 Ascertain whether the University has an effective process for determining risks and exposure from asserted and unasserted litigation and other claims of noncompliance with laws and regulations.
- 4.20 Receive information and training regarding specific elements of the University's compliance program.
- 4.21 Obtain reports concerning financial fraud resulting in losses in excess of \$10,000 or involving a member of senior management.
- 4.22 Obtain regular updates from the University Compliance Officer regarding compliance matters that may have a material impact on the organization's financial statements or compliance policies.

4.23 Review the University's monitoring of compliance with University policies, including (but not limited to) policies regarding the conduct of research, including the results of the University's monitoring and enforcement of compliance with University standards of ethical conduct and conflict of interest policies.

4.24 Review the findings of any examinations or investigations by regulatory bodies.

### **Working with Auditors**

#### **Independent External Audit**

4.25 Review the professional qualifications of all external auditors, and when determined by the committee, require such auditor to be hired by and report directly to the Committee.

4.26 Review on an annual basis the performance of all external auditors and make recommendations to the appropriate Board for their appointment, reappointment or termination.

4.27 Ensure that significant findings and recommendations made by the independent auditors for both the University and any DSO, and management's proposed response thereto, are received, discussed and appropriately acted upon.

#### **Internal Audit**

4.28 Review the independence, qualifications, activities, resources and structure of the internal audit function and ensure no unjustified restrictions or limitations are made.

4.29 Review the effectiveness of the internal audit function and ensure that it has appropriate standing within the University.

4.30 Ensure that significant findings and recommendations made by the internal auditors and management's proposed response are received, discussed and appropriately acted on.

4.31 Review the proposed internal audit plan for the coming year [or the multi-year plan] and ensure that it addresses key areas of risk and that there is appropriate coordination with the external auditor.

#### **Complaints and Ethics**

4.32 Ensure procedures for the receipt, retention and treatment of complaints concerning financial, internal accounting controls or auditing matters.

4.33 Review the University and DSO conflicts of interest policies to ensure that: 1) the term "conflict of interest" is clearly defined, 2) guidelines are comprehensive, 3) annual signoff is required, and 4) potential conflicts are adequately resolved and documented.



### **Reporting Responsibilities**

- 4.34 Regularly update the Board about Committee activities and make appropriate recommendations.
- 4.35 Ensure the Board is aware of matters that may significantly impact the financial condition or affairs of the University or its DSOs.
- 4.36 Receive prior to each meeting a summary of findings from completed internal audits and the status of implementing related recommendations.

### **Evaluating Performance**

- 4.37 Evaluate the Committee's own performance, both of individual members and collectively, on a regular basis.
- 4.38 Assess the achievement of duties specified in the charter and report findings to the board.
- 4.39 Review the Committee charter, at least every        years, and discuss any required changes with the board.
- 4.40 Ensure that the charter is approved or reapproved by the Board, at least every        years.