



AGENDA

BOARD OF TRUSTEES RETREAT

Friday, June 7, 2019

UWF Global Online

630 E. Government Street, Pensacola, FL 32502

Advance materials provided to Trustees and President's Cabinet prior to retreat.

- | | | |
|------------|--|--|
| 8:30 a.m. | Arrival
Morning Refreshments | |
| 9:00 a.m. | Call to Order & Chair's Welcome | Mort O'Sullivan |
| | President's Welcome | Dr. Martha Saunders |
| | Division of Research & Strategic Innovation Welcome | Dr. Pam Northrup |
| | Announcements | Becky Luntsford |
| 9:15 a.m. | Board of Governors <i>Flavors of Money</i> Financial Training | Betsy Bowers |
| 9:45 a.m. | Break | |
| 10:00 a.m. | Board Assessment: BOT Self-Evaluation Effectiveness Survey | Dr. Kimberly McCorkle &
Becky Luntsford |
| 11:30 a.m. | Break | |
| 11:45 p.m. | Lunch & Tours of UWF Global Online | Michelle Horton & Global
Online Staff |
| 12:45 p.m. | Travel to UWF Center for Cybersecurity
<i>220 W. Garden St., Suite 250 (Corner Garden & Spring Streets, Downtown Pensacola)</i> | |
| 1:00 p.m. | UWF Center for Cybersecurity Tour & Program | Dr. Eman El-Sheikh,
Center for Cybersecurity
Ambassadors & Staff |
| 2:45 p.m. | President's Closing Remarks | Dr. Martha Saunders |
| | Chair's Concluding Remarks | Mort O'Sullivan |
| 3:00 p.m. | Adjournment | |



BOARD *of* GOVERNORS

State University System of Florida

Flavors of Money

March 28, 2019

www.flbog.edu



Flavors of Money

The following slide presentation hits the high level points on the delegation of authority to Boards of Trustees, fiscal responsibilities of the Trustees, parameters surrounding the expenditure of funds, and key statutes and regulations that provide dos and don'ts on the use of funds.



Board of Governors Regulation 1.001 – University Board of Trustees Powers and Duties

(1) Pursuant to Article IX, section 7(c), Florida Constitution, the Board of Governors shall establish the powers and duties of the board of trustees as set forth herein and as may be established in Board of Governors' regulations. This regulation supersedes the delegation of authority to the boards of trustees contained in the Board of Governors' Resolution dated January 7, 2003. The intent of this regulation is to **delegate powers and duties to the university boards of trustees so that the university boards have all of the powers and duties necessary and appropriate for the direction, operation, management, and accountability of each state university.**

(6) **Each board of trustees shall be responsible for the financial management of its university** and shall submit an institutional budget request, including a request for fixed capital outlay, and an operating budget to the Board of Governors for approval in accordance with the guidelines established by the Board of Governors.



Board of Governors Regulation 9.007 – State University Operating Budgets

- (1) Each university president shall prepare an operating budget for approval by the university board of trustees, in accordance with instructions, guidelines, and standard formats provided by the Board of Governors.

- (2) The university board of trustees-ratified operating budget is presented to the Board of Governors for approval. Each university president shall implement the operating budget of the university as prescribed by regulations of the Board of Governors, policies of the university board of trustees, provisions of the General Appropriations Act, and data reflected within the SUS Allocation Summary and Workpapers publication.



Florida Statutes

1011.45 End of year balance of funds

Unexpended amounts in any fund in a university current year operating budget shall be carried forward and included at the balance forward for that fund in the approved operating budget for the following year.

1011.90(4) State university funding

Expenditure analysis, operating budgets, and annual financial statements of each university must be prepared using the standard financial reporting procedures and formats prescribed by the Board of Governors. These formats shall be the same as used for the 2000-2001 fiscal year reports.

1011.91 (1) Additional appropriations

Except as otherwise provided in the General Appropriations Act, all money that comes from federal grants, student fees, private sources, and from vending machine collections is discretionary; however, the budget must be approved and these funds may not be expended for construction, except as provided by S. 1013.74. F.S.



SUS 2018-2019 Operating Budget

Collects & distributes income from faculty billings for patient services performed at medical schools or clinics

Faculty Practice,
\$615,459,992

Education & General,
\$4,996,090,406

General Revenue, lottery and tuition appropriations

Local Funds,
\$2,998,433,763

Financial aid, student activities, athletics, technology, concessions, Board approved fees

Auxiliaries,
\$1,737,384,191

Housing, parking, food services, bookstores, continuing education and other auxiliary units that support the university

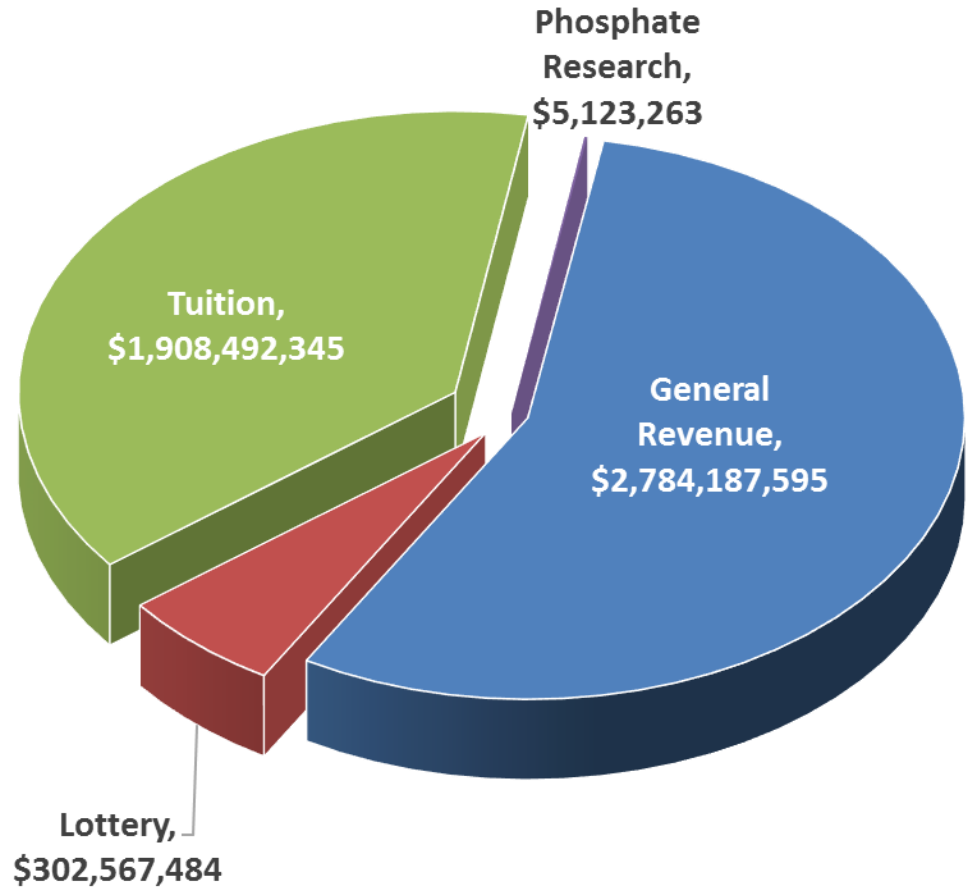
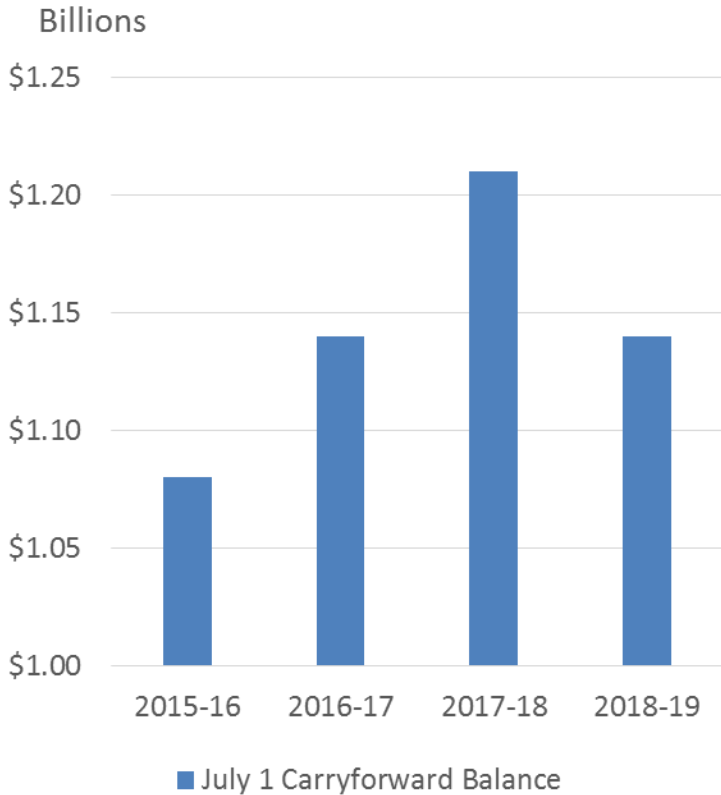
Contracts & Grants,
\$2,434,577,525

Federal, state or local

E&G Carryforward,
\$1,145,427,195



SUS 2018-2019 Education & General Operating Budget





Education & General (E&G)

- ✓ Appropriated by the Legislature/Governor each fiscal year (July 1 to June 30).
- ✓ Includes General Revenue, Lottery, Student Tuition & Fees and Phosphate Research (Florida Polytechnic University only).
- ✓ Board of Governors Regulation 9.007.
 - ✓ E&G funds are used for operating activities only, such as, but not limited to, general instruction, public service, plant operations and maintenance, student services, libraries, administrative support, and other enrollment-related and stand-alone operations of the universities.
 - ✓ Ending fund balances (carryforward) shall be used for operating activities only except where expressly allowed by law. Operating activities included, but are not limited to, unfunded enrollment growth, potential budget reductions, anticipated increases in university operations, and prior year encumbrances.

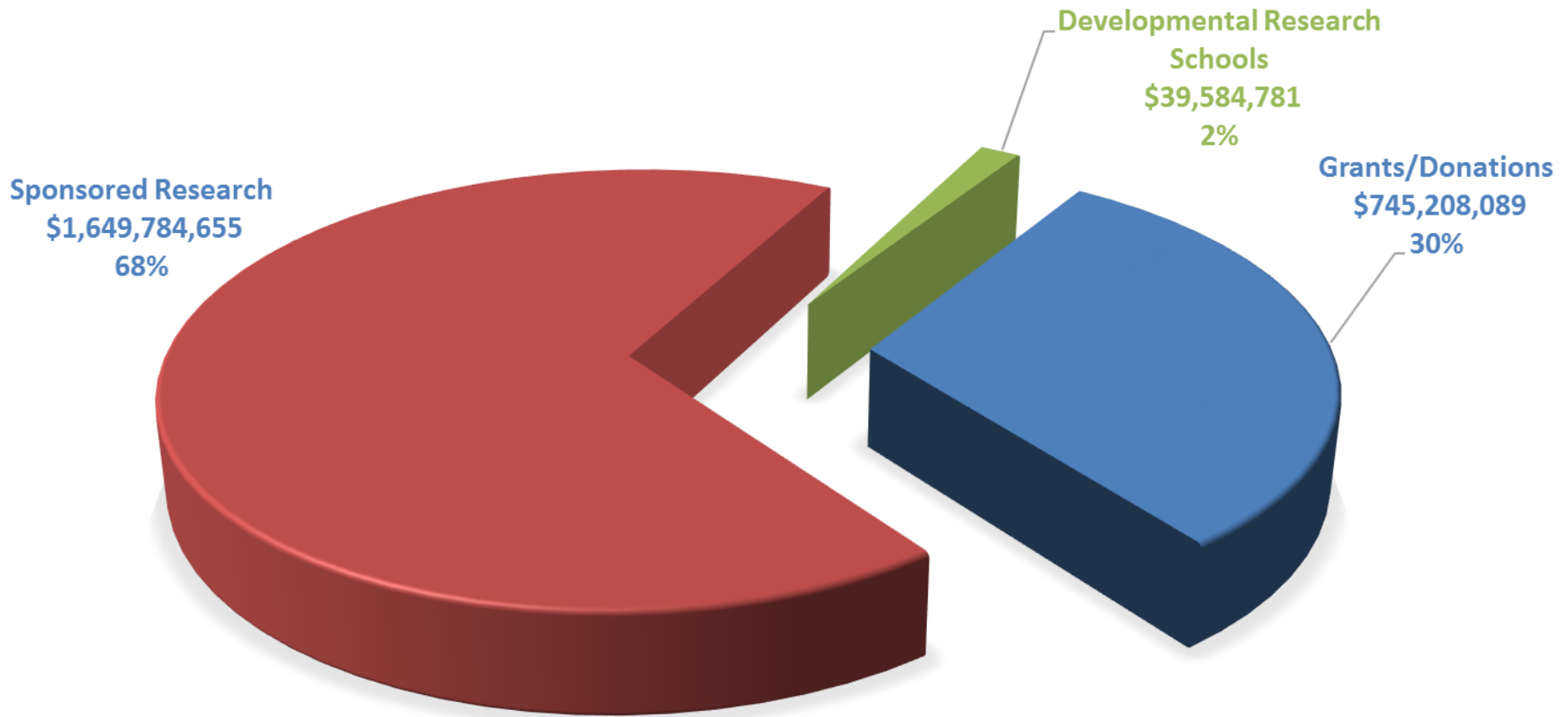


Education & General (E&G) (continued)

- ✓ At any time the unencumbered available balance in the E&G fund of the university board of trustees approved operating budget falls below five (5) percent of the approved total, the president shall provide a written notification and explanation to the Board of Governors.
- ✓ Interest earnings resulting from the investment of current-year E&G appropriations are considered to be of the same nature as the original appropriations, and are subject to the same expenditure regulations as the original appropriations. E&G interest earnings are not to be utilized for non-E&G related activities or for fixed capital outlay activities except where expressly allowed by law. Interest earnings resulting from invested carryforward funds are considered to be additions to the university's carryforward balance.



SUS 2018-2019 Operating Budget Contracts & Grants



\$2.4 Billion



Contract and Grants

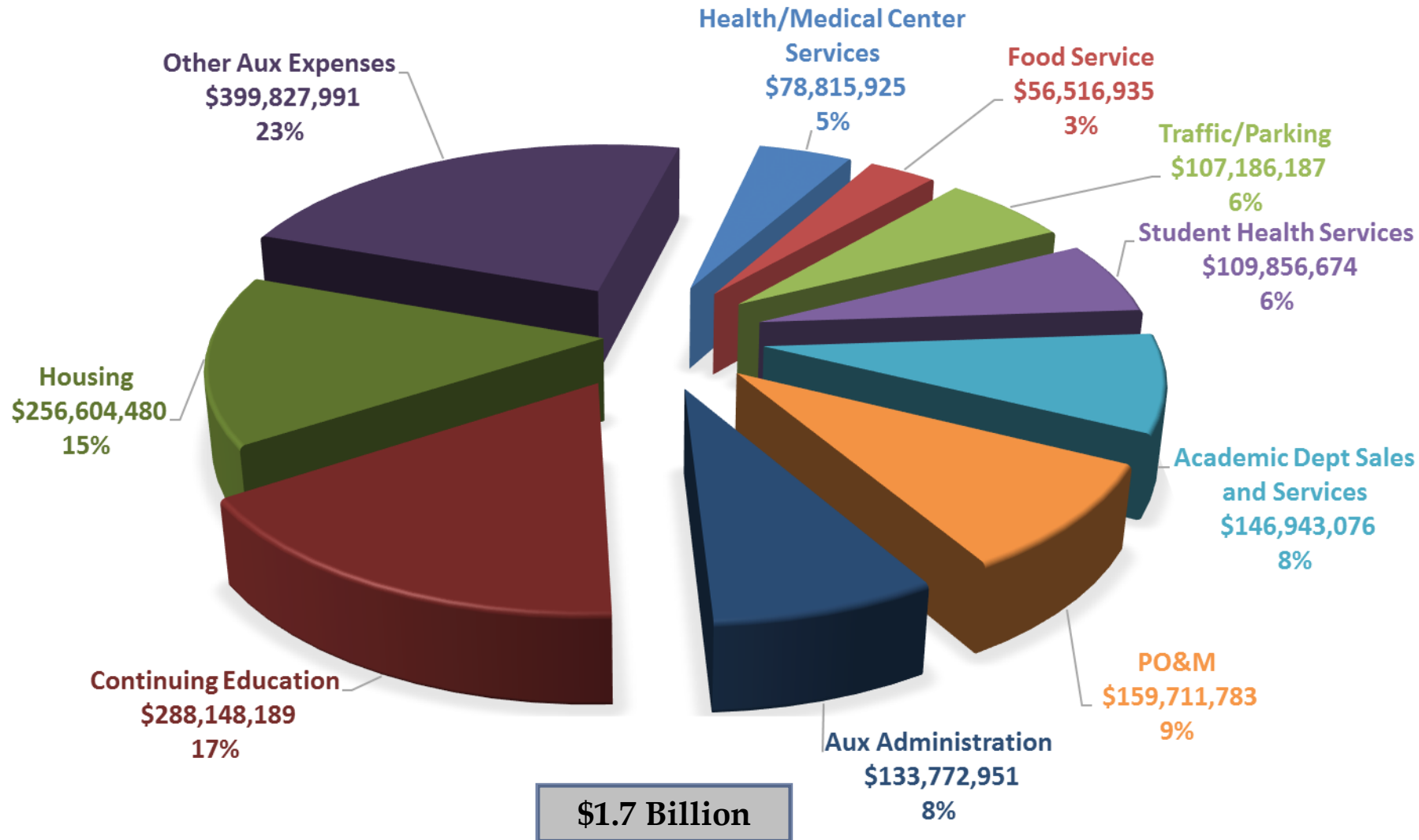
- ✓ Sponsored Research – Board Regulation 9.007
 - ✓ Funding from federal agencies, state agencies, foundations, and private sources that enables the University to conduct specific research projects or to provide specific services or deliverables.

- ✓ Grants/Donations – Board Regulation 9.007
 - ✓ Funding includes university and research foundations, state and local awards, and other various donations and grants.
 - ✓ Transfers from university medical Faculty Practice Plans to support physicians compensation also included in this entity.

- ✓ Developmental Research Schools – Florida Statute 1002.32
 - ✓ Laboratory schools fiscal activities are reported in the universities' Developmental Research Trust Funds. Funding originates from the DOE Florida Education Finance Program.



SUS 2018-2019 Operating Budget Auxiliary Enterprises





Auxiliary Enterprises – Board Regulation 9.013 – Auxiliary Operations

Auxiliary services are integral activities of a university that furnish to its faculty, staff and students goods and/or services that are necessary or desirable but not readily available elsewhere in terms of costs, quality, quantity, timeliness, convenience, or other similar considerations. These activities shall support the educational endeavor of the institution and enhance its functioning; therefore, they shall not detract or distract from this basic endeavor in any way, financially or otherwise.

The Auxiliary Enterprises Budget consists of university business operations that are self-supporting through user fees, payments and charges.

Each institution may determine whether its auxiliary services will be self-supporting on an individual or collective basis, except for athletics, which shall be a self-supporting entity.



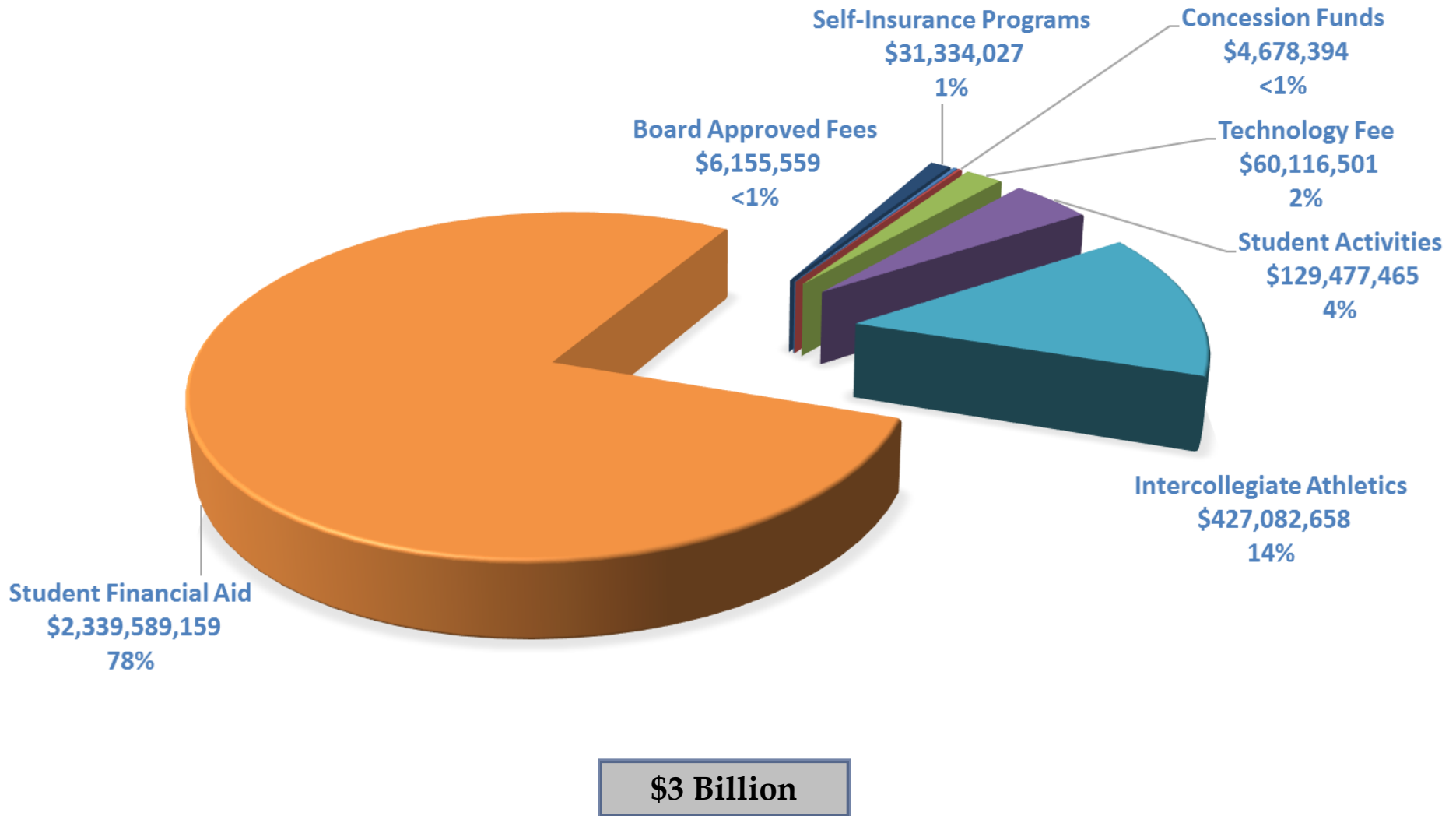
Auxiliary Enterprises – Board Regulation 9.013 – Auxiliary Operations

Proceeds from Auxiliary Enterprise operations may be used for purposes deemed necessary by the institution's administration. Examples of uses of Auxiliary funds include:

- ✓ Debt service for bonds issued for the construction of university parking garages and student dormitories (pledged revenues)
- ✓ Construction of new university facilities
- ✓ Administrative department support from Auxiliary operations overhead assessments (Human Resources, Purchasing, etc.)
- ✓ Campus safety and infrastructure improvements
- ✓ Maintenance and repairs of university academic and administrative buildings
- ✓ Salaries and benefits, compensated leave for Auxiliary Enterprise employees
- ✓ Subsidized costs for student extracurricular activities (concerts, seminars, career fairs, homecoming events, etc.)



SUS 2018-2019 Operating Budget Local Funds





Local Funds – Regulation 9.007(d) – Operating Budgets

- ✓ Student Financial Aid
 - ✓ Funding from the student financial aid fee
 - ✓ Federal Pell Grants
 - ✓ Florida Bright Futures
 - ✓ Florida Student Assistance Grant
 - ✓ Federal Work Study
 - ✓ First Generation Scholarships

- ✓ Intercollegiate Athletics Budget – Board Regulation 7.003
 - ✓ The Athletics Operating Budget supports the University’s student athletics program. Funding is generated from student athletics fees as well as ticket sales to athletics events, game guarantees, NCAA distributions, sponsorships and private support.



Local Funds (continued)

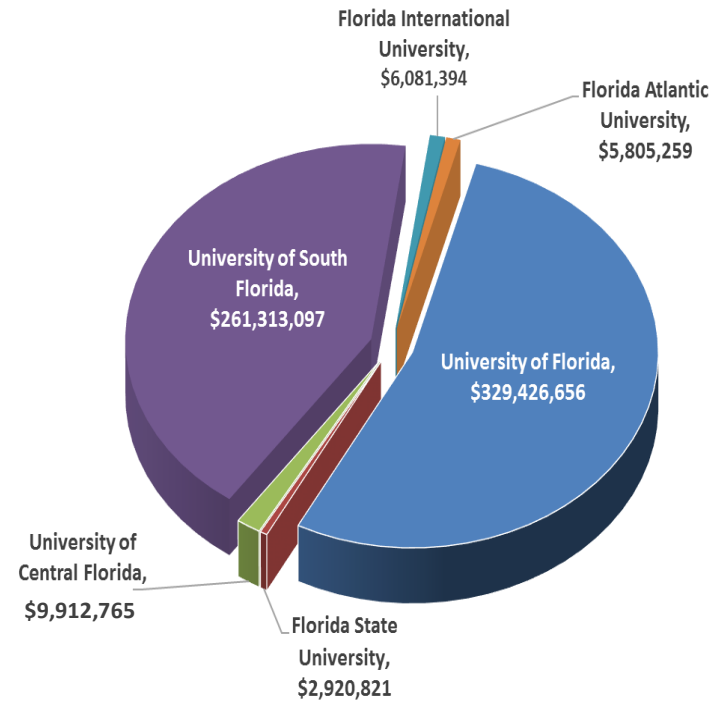
- ✓ Student Activities and Services – Board Regulation 7.003(4)(e)
 - ✓ Funding from the activities & service (A&S) fee to support student government operations and student activities such as clubs and organizations.
 - ✓ The student A&S fees shall be expended for lawful purposes to benefit the student body in general.
- ✓ Technology Fee – Board Regulation 7.003(5)
 - ✓ The fee may be up to 5 percent of the tuition charged per credit hour. The revenue from this fee shall be used to enhance instructional technology resources for students and faculty.
- ✓ Student Financial Aid Fee – Board Regulation 7.003(17)
 - ✓ This fee is collected for financial aid purposes in an amount not to exceed 5 percent of the tuition and out-of-state fee.
 - ✓ Minimum of 75 percent mandated for need-based student aid.



Faculty Practice – Regulation 9.007

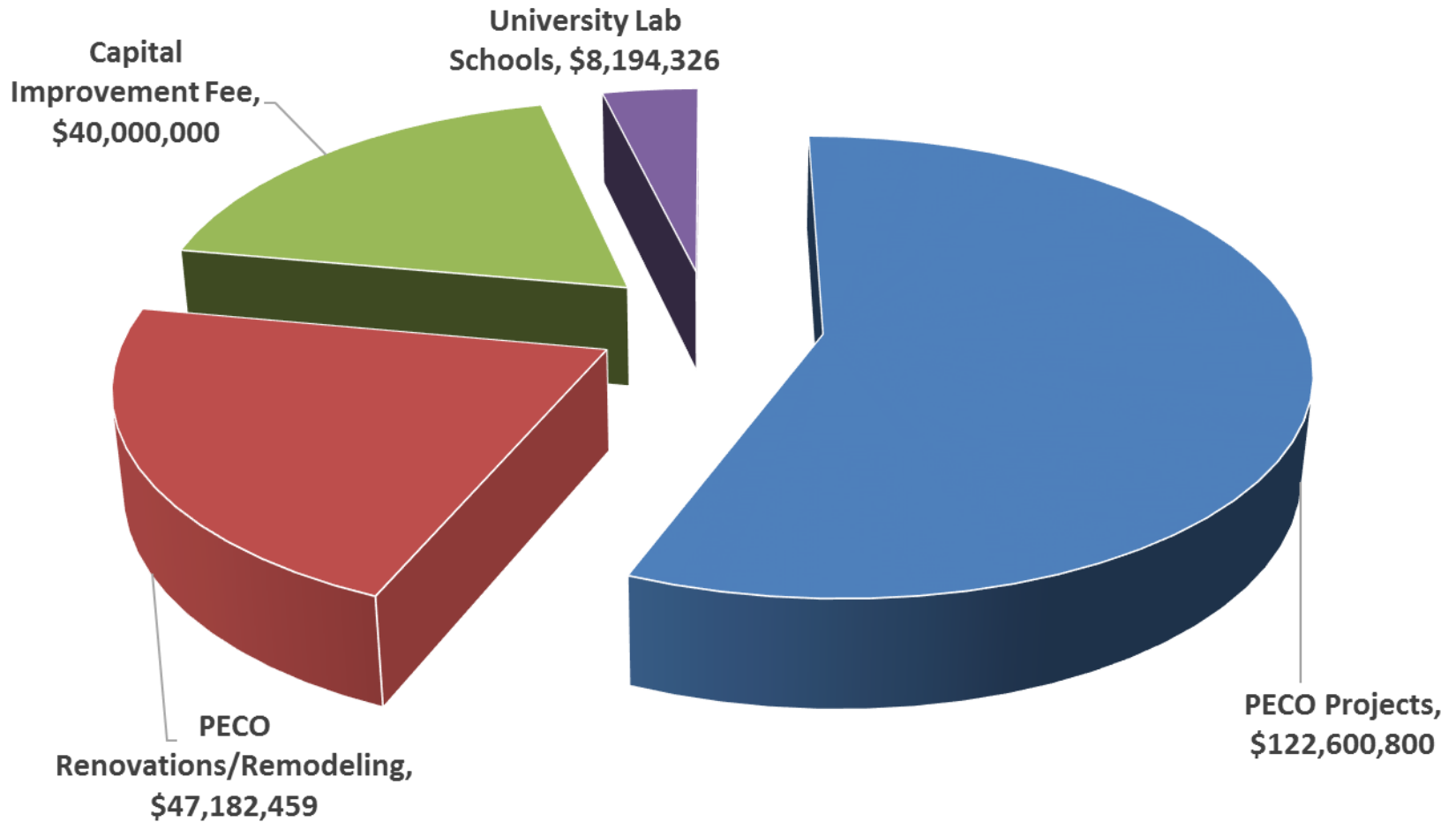
Related to the activities for the state universities' medical schools and health centers. This budget must report the monetary level of clinical activity regarding the training of students, post-graduate health professionals, and medical faculty.

University Faculty Practice Plans have been established to facilitate the orderly collection, distribution, and regulation of fees generated by faculty members engaged in healthcare services to patients as an integral part of their academic activities and employment as university faculty.





SUS 2018-2019 Fixed Capital Outlay





Fixed Capital Outlay

- **Public Education Capital Outlay (PECO)** – Funded by the Gross Receipts Tax, which is a 2.5 percent levy on the gross receipts of electric, gas and telecommunications. This tax is devoted entirely to the PECO and Debt Service Trust fund and is the major state source of revenue dedicated to k-20 facilities. Funds are used for renovation/remodeling, new construction and/or land acquisition.
- **Capital Improvement Trust Fund Fee (CITF)** – Funded by student fees and used for student related projects. This fee can be no more than 10 percent of tuition. Board Regulation 7.003(16)



SUS Authorized Revenue Sources for Fixed Capital Outlay (FCO) Projects

- ✓ **State Appropriations for FCO**
 - ✓ Public Education Capital Outlay (PECO) Trust Fund is the primary funding source for university instruction and research space
 - ✓ Secondary state sources include General Revenue, Lottery and the Capital Improvement Fee
 - ✓ Project spending authorized in the General Appropriations Act or via special appropriation



SUS Authorized Revenue Sources for Fixed Capital Outlay (FCO) Projects

✓ **Authorized University Revenues**

- ✓ Student life, research, retail, and athletic facilities do not receive PECO. These facilities must generate their own revenues for both construction and operations.
- ✓ These may also be described as “Self-Supporting Facilities”
- ✓ Authorized self-supporting facility revenues include athletics, student housing, transportation/parking, student dining, student unions, retail, research related, health, etc.
- ✓ The use of tuition as a facility revenue source is specifically prohibited in S. 1010.62 F.S.



SUS Authorized Revenue Sources for Fixed Capital Outlay (FCO) Projects

- ✓ **Authorized Non-State Revenues (S. 1013.74 F.S.)**
 - ✓ Universities may use Federal Grants, private grants, and gifts for fixed capital outlay projects IF the funds are given or granted specifically for the purpose of construction.
 - ✓ Replacement of buildings from insurance proceeds.
 - ✓ Florida Polytechnic University only is authorized to use reserves or carry forward balances for the construction of legislatively authorized projects.



Financing Mechanisms

Section 1010.62, F.S.

- ✓ Authorizes financing using revenues derived from or received in relation to sales and services of auxiliary enterprises or component units of the university, including, but not limited to:
 - Housing, transportation, health care, research or research related activities, food service, retail sales, athletic activities, or other similar services, other revenues attributable to the projects to be financed or refinanced, any other revenue approved by Legislature for facilities construction or for securing revenue bonds issued pursuant to s. 11(d), Art. VII of the State Constitution, or any other revenues permitted by law.



Financing Mechanisms

Section 1010.62, F.S.

- ✓ Bonds, loans, certificates of participation - all require Board of Governors approval and Division of Bond Finance review.
- ✓ Equipment financing does not require Board of Governors review; the equipment serves as the collateral securing the note.
- ✓ Mortgage financing does not require Board of Governors review; the building and land serves as collateral in securing the note. Mortgage financing is not allowed on State-Owned land.

Public Private Partnership (P3)

- ✓ Defined by Board Guidelines and subject to approval by the Board of Governors.
- ✓ Parallel review structure for Bonded Projects; includes Bond Finance review as well.



BOARD *of* GOVERNORS

State University System of Florida

www.flbog.edu

State University System of Florida

Glossary of Budget and Finance Terms¹

Activity and Service

The Activity and Service budget consists of funds from the student Activity and Service (A&S) fee to support student government operations, student activities such as clubs and organizations, student centers, and recreational sports for all campuses.

Auxiliary Enterprises

The Auxiliary Enterprises budget consists of university business operations that are self-supporting through user fees, payments and charges; no General Revenue Support. These budgets include: Academic Auxiliary programs, Housing, Parking and Transportation, Student Health Services, and other auxiliaries such as commissions on food services and bookstore sales, rentals, and interdepartmental services. Each institution may determine whether its auxiliary services will be self-supporting on an individual or collective basis, except for athletics, which shall be a self-supporting entity.

Board Approved Fees

Board Approved Fees are fees specific to the university and have been approved by the Board of Governors (Regulation 7.003(23)). Every five years, the Board of Trustees is required to review the fee to determine if the fee has met its intended outcomes.

Current Board of Governors approved fees include:

- ✓ Green Fee - USF, NCF and UWF
- ✓ Test Preparation Fee (Law Schools) - FIU and FAMU
- ✓ Student Life & Services Fee - UNF

Bonded Projects (Capital Funding)

Generally includes housing and parking garage debt. Can be bonded through the State Division of Bond Finance or via a university DSO

Capital Improvement Trust Fund Fee (CITF) (Capital Funding)

Funded by student fees to support student related projects. Funds are collected by the university and transmitted to the State to pay for debt service. Remaining funds are returned to university after receiving legislative authorization. A portion of the fee may be used for university child care centers.

¹ More information regarding these terms may be found in Florida Statutes 1009.24 and the Board of Governors Tuition and Fee Regulations (Chapter 7)

Carryforward

The accumulated ending Education and General (E&G) fund balance. Carryforward can be used for operating activities such as, but not limited to, a contingency for unfunded enrollment growth, potential budget reductions, anticipated increases in university operations, and prior year encumbrances. Interest or investment earnings on carryforward are used for operating activities. At any time the unencumbered available balance in the E&G fund of the university board of trustees approved operating budget falls below five (5) percent of the approved total, the president shall provide a written notification and explanation to the Board of Governors (Regulation 9.007).

Carryforward funds cannot be used for new construction.

Concessions

The Concessions fund contains all the commission-based revenues from beverage and pouring, snack vending, as well as student housing laundry machines. The commission revenues are used to support the purchase of food and refreshment items at university-wide events, faculty and staff recruitment, commencements, training, lecture series, board of trustees, student housing socials and convocation events. Funds shall not be expended for the construction or reconstruction of buildings except as provided under s. 1013.74 F.S.

Contracts and Grants

The Contracts and Grants (C&G) budget consists of funding from federal agencies, state agencies, foundations, and private sources that enables the university to conduct specific research projects or to provide specific non-research services. The C&G budget also includes direct support organization reimbursements for use of university resources.

Expenditures to support research grants include: a) direct costs such as salaries, wages, and benefits of research personnel, materials, supplies, travel, equipment, and rental of space that are directly attributed to the research project, and b) Indirect Costs such as building and equipment use and depreciation, physical plant and maintenance, hazardous waste disposal, libraries, general administration costs (legal, purchasing, accounting), janitorial services, and utilities.

Developmental Research Schools

These are a category of public schools affiliated with a state university college of education as provided by F.S. 1002.32. Currently, FSU, FAMU, UF and FAU operate DRS schools.

Direct Support Organizations; DSO's

Per Florida Statute 1004.28 (1)(a), "University direct-support organization" means an organization which is:

1. A Florida corporation not for profit incorporated under the provisions of chapter 617 and approved by the Department of State.
2. Organized and operated exclusively to receive, hold, invest, and administer property and to make expenditures to or for the benefit of a state university in Florida or for the benefit of a research and development park or research and development authority affiliated with a state university and organized under part V of chapter 159."

Similar to Auxiliary Enterprises, DSO's must be self-supporting; the key distinction is that DSO's are formally incorporated.

Education and General (E&G)

The Education and General (E&G) budget consists of State appropriated General Revenue, Educational Enhancement (Lottery) funding, and Student Tuition and Matriculation payments. Incremental funding is provided by the following primary mechanisms: Performance-based funding, tuition increases, and special legislative appropriations. State appropriated funding is no longer based on enrollments. E&G funds are used for general instruction, research, public service, plant operations and maintenance, student services, libraries, administrative support, and other enrollment-related and stand-alone operations of the university.

Faculty Practice

Faculty Practice Plans collect and distribute income from faculty billings for patient services to the UF, FSU, USF, FAU, UCF, and FIU Medical Clinics to cover the cost of medical services.

Gifts (Academic or Capital Funding)

Another source of academic or capital funding is philanthropy. Philanthropic gifts usually come with donor restrictions on the use of the funds.

Intercollegiate Athletics

The Athletics Operating budget supports the university's student athletics program. Funding is generated from student athletics fees as well as ticket sales to athletics events, game guarantees, NCAA distributions, sponsorships and private support. Intercollegiate Athletics is also supported by Title IX funding, waivers and scholarships, and a statutory tax on ticket sales to support women's sports.

Local Funds

Local funds is a term used to describe a grouping of university operating units that, prior to the devolution of the state universities from the State's central accounting system (FLAIR), were allowed to deposit operating revenues into local bank accounts as opposed to the State Treasury. These units include Student Activities, Financial Aid, Concessions, Intercollegiate Athletics, Technology Fee, Board-Approved Fees, and university Self-Insurance Plans.

Performance-Based Funding

Performance-based funding is a mechanism by which the Florida Board of Governors (BOG) allocates state appropriations to the state universities. The BOG Performance Funding Model (PFM) includes 10 metrics that evaluate institutions on a range of issues. Eight of the 10 metrics are common for all universities; one is selected by the BOG for the university and one is selected by the Board of Trustees. The Performance-based Funding Model has been in effect since fiscal year 2014-15.

Public Education Capital Outlay (PECO) (Capital Funding)

Funded by the Gross Receipts Tax, which is a 2.5 percent levy on the gross receipts of electric, gas and telecommunications as well as a portion of the Communications Services tax. This tax is devoted entirely to the Public Education Capital Outlay and Debt Service Trust fund. PECO is established in the Florida Constitution and must be used for K-20 Capital projects, including the state universities. The Legislature appropriates PECO annually. PECO distributions are administered by the Florida DOE.

Self Insurance Programs

These are revenues received by the university from entities and individuals protected by the self-insurance program for medical schools, including the Faculty Practice Plans. These programs at UF, FSU, USF, UCF, FIU, and FAU are directed by the respective self-insurance councils and the captive insurance companies (these companies underwrite the risks of its owner and the owner's affiliates). These activities are supported by premiums charged to the insured individuals and entities (primarily medical faculty and institutions). There shall are no funds appropriated to a self-insurance program (Chapter 1004.24(3) Florida Statutes).

Special Legislative Appropriations

These are legislative appropriations tied to specific university requested or member projects. Funding is based upon the university's Legislative Budget Request and may be recurring or non-recurring.

Student Financial Aid

The Student Financial Aid budget consists of funding from student financial aid fees, support from federal and state financial aid awards, institutional programs, and private scholarships. The financial aid fee may not exceed 5 percent of the combined total of the tuition and out-of-state-fee. A minimum of 75 percent of the fee shall be used to provide student financial aid based on absolute need. Examples of other sources of student financial aid are: Federal Pell Grants, Florida Bright Futures Scholarship Program, university scholarships, Florida Student Assistance Grant, Federal Work Study, and First Generation Scholarships.

Student Loans

The Student Loans Budget is comprised of loans from federal and private sources. Federal sources include Stafford and Plus, and private sources include Sallie Mae, Discover, and the PNC Financial Services Group Inc. The university acts as an agent with respect to these funds.

Technology Fee

The Technology Fee budget consists of funding from the technology fee which is assessed at 5 percent of resident base tuition. The fee revenues are used to enhance instructional technology resources for students and faculty.

Tuition Increase Funding

The Florida Legislature establishes undergraduate tuition and authorizes the Board of Governors to establish graduate and professional tuition, as well as non-Florida resident tuition. Tuition differential beyond the base tuition for undergraduate Florida residents, up to 15 percent, is currently being implemented by each university with the exception of Florida Polytechnic University. A minimum of 30 percent of the tuition differential fee must be used to provide need-based financial aid to undergraduate students. The ability to request an increase in the Tuition differential fee beyond existing levels was eliminated effective fiscal year 2014-15 (per Chapter 1009.24(16) F.S.) with the exception of those universities designated as Preeminent by the Board of Governors (may request an increase not to exceed 6 percent per year for tuition and tuition differential fee combined). The Board of Governors approves tuition for market rate programs subject to parameters established by the Florida Legislature and Board Regulation 8.002.

University Treasury Operations

Treasury operations revenue consists of earnings from the university's investment portfolio. Earnings include interest income, realized gains and unrealized gains or losses.



Board Assessment

UWF BOT Self Evaluation Effectiveness Survey

Purpose of Board Assessment:

- ◇ The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) encourages Board of Trustees participation in self-evaluation as part of an educational institution's strategic planning process.
- ◇ Section 4.2g: SACSCOC Principles of Accreditation: Foundation for Quality Enhancement Adopted by the College Delegate Assembly: December 2017 states, "***The governing board defines and regularly evaluates its responsibilities and expectations (Board self-evaluation).***"
- ◇ The National Commission on College and University Board Governance recommends "*Boards must hold themselves accountable for their own performance by modeling the same behaviors and performance they expect from others in their institutions. To do so means setting goals for board performance and benchmarks for measuring board effectiveness, as well as conducting regular board self-assessments.*"

Rationale and Benefits of Board Assessment:

- ◇ As the body that holds in trust the fundamental autonomy and ultimate well-being of the institution, the governing board of the institution is a critical element in the success of the institution. Good institutional governance requires that the board systematically asks itself, "How are we doing? What are we doing? Are we as effective as a board as we can be?"
- ◇ The process of institutional improvement underlies the SACSCOC Principles of Accreditation. While the means by which a governing board participates in that process may be different in scope, tone, and detail than that of the rest of the institution, it is still a necessary element in institutional leadership.
- ◇ Board assessment should be a regularly scheduled event and an on-going process. A board that assesses its own performance sets the right tone at the top for the entire institution.
- ◇ The board assessment process can educate board members about their roles, responsibilities and boundaries and should be included as part of the orientation of new board members

Process of Board Assessment: *BOT Self-Evaluation Effectiveness Survey*

RESEARCH & PLANNING

- Review SACSCOC requirements, Association of Governing Boards, Florida Board of Governors, and Florida State University System Information on Board Assessment.
- Gather and create samples of the BOT Self-Evaluation Effectiveness Survey.
- Create survey.
- Choose the evaluation scoring scale.

INFORMATION GATHERING

- Administer the BOT Self-Evaluation Effectiveness Survey.

ANALYSIS & GOAL SETTING

- After administration of the survey, the Board of Trustees will meet to review and analyze the survey results and generate discussion regarding the results.
- If there are specific changes identified by the Board, meeting minutes will document goals set and recommended changes and/or actions to be taken by the Board.

IMPLEMENTATION

- Multiple cycles and ongoing measurement of effectiveness will properly document Board assessment as a continuous process.
- To complete the Strategic Planning Process, the Board of Trustees will:
 - Review and approve the institution's mission as a result of the strategic planning process; and
 - Review and approve the institution's new strategic plan that resulted from the Board assessment process.

Questions to Consider: *BOT Self-Evaluation Effectiveness Survey*

- The accreditation review of the SACSCOC 2018 Principles regarding Board Governance, Board legal authority, and Board professional development was effective.
- The Board Committee structure is effective.
- The annual Board of Trustees professional development is effective.
- Board members are provided adequate professional development opportunities.
- Board members are adequately informed on the financial health of the institution to provide effective oversight.
- Board members are adequately informed of educational programs and services to provide effective oversight.
- Board minutes are clear and accurate.
- Board procedures for Presidential succession, selection, and evaluation are clear.
- Board procedures for the President's evaluation are effective.
- The Board is effective in its guidance role to the President.
- The Board is effective in its policy-making role, which includes updating policies to meet new circumstances.

Scoring Scales to Consider (Likert Scale): *BOT Self-Evaluation Effectiveness Survey*

- Strongly Agree (1) – Strongly Disagree (4) OR Strongly Agree (1) – Strongly Disagree (5).

Timeline: *2019-2020 BOT Self-Evaluation Effectiveness Survey*

March 20, 2019 (BOT Meeting): BOT Self-Evaluation Process presented to the Board as information item.

April, 2019: University Provost Office staff to draft three sample versions of BOT Self-Evaluation Effectiveness Surveys. SACSCOC Sect 4.2g to provide direction for survey questions

Late April or Early May, 2019: BOT Executive Committee to meet and review BOT Self-Evaluation Effectiveness Survey Samples.

May, 2019: BOT Executive Committee provides samples of surveys to the full Board. Board members are instructed to review and bring survey samples and process provided to the BOT Retreat for discussion, revision and finalization of the BOT Self-Evaluation Effectiveness Survey.

June 7, 2019 (BOT Retreat): Board members to discuss, revise and finalize the BOT Self-Evaluation Effectiveness Survey, Process, Timeline and consider updating the BOT Duties & Responsibilities.

June 19, 2019 (BOT Meeting): Revised BOT Duties & Responsibilities to be presented to the Board as an action item (BOT Self-Evaluation Effectiveness Process added to BOT Duties & Responsibilities).

September 19, 2019 (BOT Meeting): Board approve final BOT Self-Evaluation Effectiveness Process & Timeline as an action item.

January, 2020: BOT Self-Evaluation Effectiveness Survey to be sent to the Board (Evaluation of 1/2019–12/2019).

March 18, 2020 (BOT Meeting): Board approves Self-Evaluation Effectiveness of 1/2019–12/2019.

June 18, 2020 (BOT Meeting): Review of 1/2019–12/2019 Self-Evaluation Effectiveness Results & Continuous Improvement for 2020.

University of West Florida

Board of Trustees Self-Evaluation

Sample 1

For each item, select your level of agreement with each statement.

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1	The board committee structure is effective and appropriate to the work of the board.					
2	The board periodically reviews and evaluates policies and procedures.					
3	The board regularly reviews the mission, vision, and strategic goals of the university and the State University System.					
4	The board maintains appropriate and effective administrative oversight of the activities of the university.					
5	Board members are adequately informed on the financial health of the university so as to provide effective oversight.					
6	Board members are adequately informed on the educational programs of the university so as to provide effective oversight.					
7	The board regularly evaluates the president of the university.					
Open Ended						
8	What are the major accomplishments of the board in the past year?					
9	What are areas in which the board could improve?					
For any items identified as Disagree or Strongly Disagree, please provide context and details in the comments section.						

Comments:

University of West Florida

Board of Trustees Self-Evaluation

Sample 2 (Adapted from the Florida Board of Governors Self-Evaluation Instrument)

For each item, select your level of agreement with each statement.

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1	The Board of Governors has clear responsibilities for its members.					
2	The Board of Governors adhere to a code of ethics.					
3	The Board of Governors avoids conflicts of interest and the perception of conflicts of interest.					
4	The Board of Governors advocate SUS interests to state agencies and legislators.					
5	The Board of Governors are knowledgeable about state and regional higher education needs.					
6	The Board of Governors are knowledgeable of the mission and purposes of each SUS institution.					
7	The Board of Governors monitor the effectiveness of how each institution fulfills their mission through the accountability and strategic plans.					
8	The Board of Governors promote an environment where members feel engaged, respected, and empowered to raise issues for discussion.					
Open Ended						
9	Please list any areas for improvement for the Board of Governors.					
10	What should the Board accomplish in the next two years?					
For any items identified as Disagree or Strongly Disagree, please provide context and details in the comments section.						

Comments:

University of West Florida

Board of Trustees Self-Evaluation

Sample 3

For each item, select your level of agreement with each statement.

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1	The accreditation review of the SACSCOC 2018 Principles regarding Board Governance (Section 4), Board legal authority, and Board professional development and retreat was effective.					
2	Board members are provided with sufficient professional development opportunities.					
3	The board has reviewed and/or updated the bylaws within the last five years.					
4	Board members are knowledgeable of the roles and responsibilities of trusteeship.					
5	The board adheres to a comprehensive conflict-of-interest policy and addresses conflicts appropriately.					
6	The board productively explores ideas by engaging in robust discussions.					
7	The board regularly reviews the mission, vision, and strategic goals of the university and the State University System.					
8	The board self-evaluation process provides useful information on Board performance.					
9	The board committee structure is effective.					
10	Board members are adequately informed on the financial health of the university so as to provide effective oversight.					
11	The board monitors auxiliary organizations (e.g., alumni, foundations, institutes).					
12	Board members are adequately informed on the educational programs of the university so as to provide effective oversight.					
13	Board procedures for succession, selection, and evaluation of the President are clear.					
14	The board regularly evaluates the president of the university.					

15	The board ensures the institution plays a positive social and economic role in the communities it serves.					
Open Ended						
16	What are the major accomplishments of the board in the past year?					
17	What are areas in which the board could improve?					
For any items identified as Disagree or Strongly disagree, please provide context and details in the comments section.						

Comments:

The University of West Florida Board of Trustees

Purpose, Authorities, Roles & Responsibilities

(As of 4/23/13)

Statement of Purpose

The University of West Florida Board of Trustees is responsible for the effective governance of the University of West Florida.

Board of Trustees Collective Responsibilities

1. Responsibilities as listed in FL State Statutes (*Summary below*)
2. Set the institution's strategic mission and purpose
3. Appoint and compensate the president
4. Support and monitor the performance of the president
5. Assess board performance
6. Set the direction for and approve the University's strategic plan
7. Ensure academic programs meet the needs of the region
8. Ensure adequate resources and prudent fiscal management
9. Ensure effective management
10. Preserve institutional independence
11. Ensure proper community integration through relationships with other social, educational and business enterprises
12. Be an advocate for the institution by interpreting it to its publics
13. Participate as appropriate in legislative and governmental affairs
14. Ensure an exemplary board reputation
15. Lead by example in institutional philanthropic efforts
16. Abide by open meeting laws

Board of Trustees Individual Responsibilities

The Association of Governing Boards (AGB) training materials (cited below) that were either used or cited in our Board Development Workshop note that individual trustees have no special authority in their individual capacities.

The authority of the Board is a collective authority, except to the extent specifically delegated to an individual (such as the chair) or to a committee. In addition, in Florida, when an individual trustee or group of trustees is acting pursuant to such a delegation, they may be subject to the open meetings and other provisions of the Sunshine law.

The AGB points out that individual trustee should avoid requesting special privileges of the institution or of its personnel. Likewise, personnel contacting BOT members should be directed to their appropriate supervisor or Vice President in accordance with procedures to be designated by the President/Corporate Secretary who is responsible for institutional communications with the Board and for the implementation of Board actions and requests.

1. Familiarization with BOT agenda items and topics of concern
2. Meeting attendance (four meetings annually, one strategic planning session, emergency meetings as needed)
3. Committee participation

May 31, 2019

4. Asking relevant questions and bringing issues of concern and expertise to the boardroom
5. Knowledge of the institution
6. Accepting majority opinion and collective consensus
7. Participating in campus functions as appropriate
8. Promoting the institution in all appropriate circles
9. Exercising sound judgment
10. Referring requests for information to the board chair or president
11. Supporting the president and reporting concerns to him/her
12. Defending the institutions' and board's autonomy
13. Leading our philanthropy efforts with an annual gift and with a contribution to our capital campaigns
14. Avoiding even the appearance of conflicts of interest

BOT Chair Responsibilities

BOG 1.001 The duties of the chair shall include presiding at all meetings of the board of trustees, calling special meetings of the board of trustees, and attesting actions of the board of trustees and notifying the Board of Governors or the Governor, as applicable, in writing whenever a board member has three consecutive unexcused absences from regular board meetings in any fiscal year, which may be grounds for removal.

UWF BOT Bylaws: The duties of the chair, in addition to the above, include appointing trustees to standing and ad hoc committees.

In addition, the Chair should:

1. Be knowledgeable about the institution and all its complexities.
2. Be the board's most effective advocate.
3. Conduct good board meetings and ensure the BOT deals with governance issues and delegates management issues.
4. Continue progress on board development.
5. Act as spokesperson for the BOT.
6. Develop the BOT agenda in consultation with the Corporate Secretary (president).
7. Appoint trustees to BOT committees.
8. Serve or appoints a representative to serve on DSO boards.
9. Serve as ex-officio on BOT committees.
10. Attend functions on behalf of the BOT.

BOT Vice Chair Responsibilities

UWF Bylaws: The vice-chair shall act as chair during the absence or disability of the chair.

BOT Faculty Trustee Responsibilities

Same as individual trustee responsibilities with the following exceptions/additions:

1. Serve as a liaison to the faculty senate in raising awareness in the faculty of board of trustee decisions and concerns.
2. Assist the board in understanding the intricacies and complexities of academia by

May 31, 2019

- reflecting and raising awareness of the BOT regarding faculty concerns and opinion.
3. AGB materials note that ex officio board members, such as the faculty trustee, do not technically "represent" the faculty, but rather serve in a capacity of broad public trust with a fiduciary responsibility to the university as a whole.

BOT Student Trustee Responsibilities

Same as individual trustee responsibilities with the following exceptions/additions

1. Serve as a liaison to the SGA in raising awareness in the SGA of board of trustee decisions and concerns.
2. Assist the board in understanding the intricacies and complexities of student life, by reflecting and raising awareness of the BOT regarding student concerns and opinion.
3. AGB materials note that ex officio board members, such as the student trustee, do not technically "represent" the students; rather they serve in a capacity of broad public trust with a fiduciary responsibility to the university as a whole.

Expertise needed on BOT

1. Board diversity is essential along several dimensions including but not limited to, ethnicity, geography, ideas, opinions, and talents
2. An affinity for the University of West Florida is essential for Board membership
3. Sufficient knowledge and understanding of the complexities of a large higher education organization
4. Ability to strengthen public confidence and trust in the organization and in higher education
5. A record of interest in higher education that demonstrates an understanding of its place in our diverse society
6. Intelligence, wisdom, breadth of vision, and a record of independent judgment
7. An inquiring mind and attitude of fairness in judgment
8. Sufficient time and energy to be an informed and active member
9. Understanding of the importance and role of philanthropy in a university

BOT Powers and Duties

A full statement of the powers and duties of the Board of Trustees of each of the Florida public universities are set forth in Board of Governors Regulation 1.001. A copy is attached.

References

Ingram, Richard, T.; New Trustee Orientation, Association of Governing Boards of Universities and Colleges, 2003.

Ingram, Richard, T.; Effective Trusteeship, Association of Governing Board of University and Colleges, 2004.

Ingram, Richard, T.; The Board Chair's Responsibilities, Association of Governing Board of University and Colleges, 2002.

UWF Board of Trustees Bylaws