



**AGENDA**

**THE UNIVERSITY OF WEST FLORIDA  
BOARD OF TRUSTEES**

**Audit & Compliance Committee Meeting  
August 13, 2018**

**University of West Florida  
UWF Conference Center, Bldg. 22  
11000 University Parkway, Pensacola, FL 32514**

**Call to Order/Roll Call. . . . . Robert Jones, Chair**

**Greeting . . . . . Robert Jones**

**Action Items:**

1. Acceptance of UWF Internal Auditing Reports Issued: Conflicts of Interest/Outside Activities; Hal Marcus College of Science and Engineering Dean’s Office
2. Acceptance of PCard Audit Reports: Results for Quarter 4 Update (April – June 2018); Annual Update (July 2017-June 2018)
3. Acceptance of Florida Auditor General Statewide Bright Futures Audit for Fiscal Years 2015/16 and 2016/17
4. Approval of 2018 Florida Educational Equity Act Report

**Information Items:**

1. Internal Auditing Update on Activities
2. Compliance and Ethics Update on Activities

**Other Committee Business:**

**Adjournment**

**UWF Board of Trustees Meeting**  
Audit & Compliance Committee  
August 13, 2018

**Issue:** UWF Internal Auditing Reports Issued

**Proposed action:** Acceptance

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**Background information:**

Internal Auditing & Management Consulting completed two audits during the period May 1, 2018, through July 31, 2018: Conflicts of Interest/Outside Activities and Hal Marcus College of Science and Engineering Dean's Office.

**Conflicts of Interest/Outside Activities 17-18 006**

Our audit period was July 1, 2016, through December 31, 2017, and was part of the approved work plan for 2017/18. We issued the audit report on June 11, 2018. The audit's objectives were to 1) identify and evaluate the adequacy and effectiveness of controls related to conflicts of interest and outside activities, 2) evaluate the processes to ensure the completeness and accuracy of submitted conflict of interest and outside activity forms, and 3) review compliance with applicable laws, rules, and regulations.

**Results:**

We found that controls over the reporting of conflicts of interest and outside activities, and related review of approvals, were generally strong, including compliance with laws, rules, and regulations; however, we made the following recommendations:

- Periodic training and communication to employees and New Employee Orientation needed enhancements to ensure understanding of requirements related to conflicts of interest and the reporting of outside activities.
- Revisions to the Employee Code of Conduct were needed to promote an understanding of requirements related to conflicts of interest and outside activities.
- The approval process for Conflicts of Interest and Outside Activity Forms needed to be streamlined.
- Three of the related forms needed to be combined to minimize misunderstandings.
- An annual positive confirmation by employees as to their conflicts of interest or outside activities should be considered.
- An ad hoc committee by stakeholder departments needs to be formed, to help coordinate communication, administration, and oversight of policies and processes.

Management's Actions: Management has outlined courses of action with implementation by March 31, 2019.

**Recommendation:** Acceptance of the Internal Auditing report.

**Implementation:** None.

**Fiscal Implications:** Fiscal oversight by the UWF Board of Trustees

**Hal Marcus College of Science and Engineering Dean's Office 17-18 007**

Our audit period was July 1, 2016 through December 31, 2017 and was part of the approved work plan for 2017/18. We issued the audit report on June 29, 2018. The audit's objectives were to evaluate internal controls over 1) financial activities, contractual agreements, management oversight, and safety and security, 2) compliance with University policies, procedures, and applicable laws, and 3) effectiveness and efficiency of operations.

**Results:**

We found that controls over HMCSE Dean's Office administrative activities were generally strong, including compliance with laws, rules, and regulations; however, we made the following recommendations:

- HMCSE and Environmental Health & Safety should collaborate to refine their process for ensuring that faculty, staff, graduate and undergraduate research assistants, directed studies students and registered volunteers are appropriately trained prior to conducting any work in University laboratories.
- The Dean's Office should ensure that Travel Authorization Requests are signed by the employee's supervisor, in compliance with the policy set forth by Academic Affairs.

Management's Actions: Management has outlined courses of action with implementation by September 30, 2018.

**Recommendation:** Acceptance of the Internal Auditing report.

**Implementation:** None.

**Fiscal Implications:** Fiscal oversight by the UWF Board of Trustees

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**Supporting documents**

UWF 17-18\_006 Conflicts of Interest/Outside Activities audit report

UWF 17-18\_007 HMCSE Dean's Office audit report

**Prepared by:** Cindy Talbert, Interim Internal Audit Director, 850-474-2638, ctalbert@uwf.edu

**Presenter:** Cindy Talbert

## EXECUTIVE SUMMARY

We audited Conflicts of Interest/Outside Activities for the period of July 1, 2016, through December 31, 2017. This audit was part of our approved 2017/18 audit work plan, determined by our annual risk assessment. Our objectives were to:

- Identify and evaluate the adequacy and effectiveness of controls related to conflicts of interest and outside activities,
- Evaluate the processes to ensure the completeness and accuracy of submitted conflict of interest and outside activity forms, and
- Review compliance with applicable laws, rules, and regulations.

Audit fieldwork began on February 1, 2018 and ended on April 3, 2018. Our audit was conducted in accordance with the Institute of Internal Auditors *International Standards for the Professional Practice of Internal Auditing* and generally accepted auditing standards.

## BACKGROUND

University of West Florida (UWF) faculty and staff engage in a broad array of professional and personal interests and activities independent of their employment. UWF administration encourages and supports employees in their pursuit of these activities, which in many instances are also of benefit to UWF. A risk exists that improper relationships may occur, perhaps unknowingly on the part of the employee.

A “conflict of interest” arises when an individual’s private interests (such as outside professional or financial relationships) might interfere with his or her professional obligations to the University. A conflict of interest does not necessarily imply wrong-doing, however, it is necessary to disclose such conflicts or potential conflicts so the risk can be evaluated. An example might be when a faculty member engages in a private practice that tends to attract business relationships that might otherwise have benefited the University.

An “outside activity” includes any activity, compensated or uncompensated, which is not part of the employee’s assigned duties for the University. Outside activities are of concern to the University if they result in conflicts with the employee’s obligations and responsibilities to the institution, including the conflict of time. An example is when a staff member volunteers as the coach of a youth sports team, and understandably wishes to recommend a promising player to UWF Athletics.

These situations and many more like them need to be vetted through an administrative process, so that potential conflicts can be managed, mitigated, or eliminated.

Florida Statutes Chapter 112, Part III governs ethical obligations for public officers and employees and requires disclosure of actual or potential conflicts of interest. University Policies AC-11.02-05/13 “Conflict of Interest” (*specifically for Academic Affairs*) and HR-15.02-05/16 “Employee Code of Conduct” (*a Human Resources policy covering all employees*) require that potential conflicts of interest and outside activities be reported to the supervisor prior to engaging in the activity. An online application has been created for this process, which facilitates electronic review and approval by the employee’s supervisor, department head (for faculty, the Chairperson, Dean, and Provost), the Vice President, and the Associate Vice President of Human Resources.

## NOTABLE STRENGTH

During Fall 2016, Human Resources and Information Technology Services (ITS) collaborated on an effort to eliminate hard copies of the Conflicts of Interest and Outside Activity Forms, by converting to an electronic routing and approval application. This conversion represented a considerable improvement that has established a platform to make continuing enhancements to these processes.

## KEY OBSERVATIONS

We found that controls over the reporting of conflicts of interest and outside activities, and related review and approvals, were generally strong, including compliance with laws, rules, and regulations; yet we make the following observations:

1. Most new hires attend an Orientation session hosted by Human Resources, at which a variety of topics are discussed. New employees are given a New Hire Essentials Documents package that includes a Document Acknowledgement Form. The employee signs this form, acknowledging that they must adhere to the University's Employment Policies; however, there is no specific reference to the Conflicts of Interest and Outside Activities policy. There does not appear to be a formal, consistent process of communicating the requirements to employees. Furthermore, training sessions are not offered that might educate employees on the requirements.

We conducted a UWF website search and located a Conflict of Interest page that led to the Research & Sponsored Programs page. This information indeed clarified the requirements, with links to the Policy and to the forms. Our search also disclosed links to the Academic Affairs Conflict of Interest Policy but not the Human Resources Policy, although we noted a link to instructions for how to complete the forms. A person diligently searching for this information might be able to locate it, but it is not clear how they would know that they have a need to access this information and comply with its requirements.

2. We reviewed the Employee Code of Conduct Policy to evaluate its effectiveness for employees seeking clarity with regard to their responsibility to report conflicts of interest and outside activities. It clearly identified the persons obligated to report, and included definitions of conflicts of interest and outside activities, with examples. However, the criteria was broadly defined and could lead to confusion about when a disclosure should be made. Additional clarification of situations requiring

completion of the forms may be needed, in consultation with the Office of General Counsel.

3. Once the Conflict of Interest or Outside Activity Form has been submitted to a supervisor for review and approval, the reviewer carefully considers all aspects of the situation before approving the document on the online application. Multiple levels of review and approval are required before the activity is considered approved. In the case of a faculty member, this review process includes:

- The Academic Chairperson
- The Dean
- The Provost/Sr. Vice President
- Research & Sponsored Programs
- Human Resources

We conducted a test to determine the average number of days required to complete the approval process of these forms. Our results indicated that approval took an average of 45 days to be processed, with certain disclosure forms still outstanding 300 days after submittal. Although employees are directed not to engage in the described activity until final approval is obtained, it seems likely that some will have initiated the activity without prior approval, due to the extended amount of time it takes to obtain approval.

4. Two separate online forms exist to report 1) Conflicts of Interest and 2) Outside Activities. Staff that we interviewed were in agreement that employees are often confused about which form they are required to submit. To further complicate matters, a third form "Disclosure of Significant Financial Conflict of Interest Form" is required to be submitted by some researchers who are applying for a federally funded grant. Misunderstandings about the proper submission of these forms likely contributes to the level of noncompliance with the requirement to submit them. For example, in our review of 44 employees, 17 were found to have potential conflicts of interest and/or outside

activities and of those employees, only 8 had submitted the required documentation.

5. We conducted an audit test on Conflicts of Interest and Outside Activities Forms submitted during the audit period. It was noted during this test that only about 120 forms had been submitted during calendar year 2017, out of a faculty and staff population of about 1400. Under the current system, employees are only required to report when and if an outside activity is expected to occur. Because employees are reporting on the “honor system” we are unable to determine if the number of reported disclosures is complete.
6. Several University departments are stakeholders in the reporting and approval processes for conflicts of interest and outside activities. At a minimum, this includes Human Resources, Academic Affairs, Research & Sponsored Programs, and General Counsel. ITS is involved due to the support they provide for the online reporting and approval process. The Office of Procurement and Contracts also has a stake, due to State procurement and ethics regulations. In our discussions with several of these involved departments, staff acknowledged inefficiencies and flaws in the processes that have been created over time, yet they did not feel authorized to initiate improvements because of the multiple stakeholder departments. Designation of a centralized authority for communication, administration, and oversight of these policies and processes would serve to strengthen them.

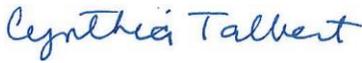
## **RECOMMENDATIONS**

1. We recommend that New Employee Orientation agendas include specific instructions for new hires about the requirement to obtain prior approval for outside activities and disclose potential conflicts of interest. We also recommend periodic training and communication to existing employees on the conflict of interest and outside activity reporting requirements.
2. We recommend that Human Resources, in consultation with the Office of General Counsel, ensure that the Employee Code of Conduct accurately defines circumstances requiring an employee to report conflicts of interest and outside activities, and make any necessary revisions to the policy. Although the list would not be all-inclusive, we recommend listing additional examples of potential conflicts of interest and outside activities to more clearly demonstrate reportable conditions.
3. We recommend that Human Resources coordinate an effort in consultation with Academic Affairs, Research & Sponsored Programs, and General Counsel, to streamline the approval process for Conflicts of Interest and Outside Activity Forms, for example, by eliminating levels of approval that are not essential. One possibility to consider would be establishing conflict thresholds and “trigger” questions to determine the appropriate parties to review and address the conflict. We also recommend that a system of automated email reminders be established on the software application, to notify approvers when forms have been waiting in the approval queue for an excessive length of time.
4. We recommend that Human Resources, Academic Affairs, Research & Sponsored Programs, and General Counsel consider developing a single review form that fulfills the requirements of all three of the forms currently in use (and may also address intellectual property considerations.)
5. We recommend that Human Resources and Academic Affairs consider efficient alternatives that might be used to obtain an annual positive confirmation as to whether an employee has or does not have conflicts of interest or outside activities to report.
6. We recommend that an ad hoc committee of representatives from Human Resources, Academic Affairs, Research & Sponsored Programs, General Counsel, ITS, and Procurement & Contracts be established to consider improvements to the

processes involved with the reporting, review, and approval of employee conflicts of interest and outside activities.

We appreciate the cooperation, professionalism, and responsiveness of the employees who were involved in the audit.

Respectfully submitted,



**Cindy Talbert, CIA, CICA, CPA, CRMA**  
**Interim Internal Audit Director**

**REPORT PROVIDED TO THE FOLLOWING:**

Dr. Martha Saunders, President  
Mort O'Sullivan, Chair BOT  
Bob Jones, Chair BOT Audit & Compliance Committee  
Dick Baker, BOT Audit & Compliance Committee  
Robert Sires, BOT Audit & Compliance Committee  
Dr. George Ellenberg, Provost/Sr. Vice President  
Dr. Pam Northrup, Vice President  
Dr. Mark Roltsch, Director RSP  
Betsy Bowers, Interim Vice President  
Jamie Sprague, Associate Vice President  
General Counsel Pamela Langham  
Angie Jones, Procurement Director  
Melanie Haveard, ITS Executive Director  
Jaime Hoelscher, Manager, FL Auditor General  
Ken Danley, Supervisor, FL Auditor General  
Joe Maleszewski, BOG Chief Inspector General  
Lori Clark, BOG Compliance and Audit Specialist  
Rebecca Luntsford, BOT Liaison

## MANAGEMENT RESPONSES TO RECOMMENDATIONS

### Recommendation #1

Management Response: An outside activity-conflict of interest informational flyer/PowerPoint slide will be added to New Employee Orientation. This will be effective for the August 2018 New Employee Orientation. Once the outside activity-conflict of interest policy and procedures are revised, education and training will take place through a variety of methods (individual meetings with Divisions/Departments, brown bag lunch and learns, educational materials, etc.). After this initial education and training push, training will continue on a periodic basis. Education and Training will take place in the beginning of 2019.

Responsible Party: Associate Vice President Jamie Sprague, Human Resources

Targeted Implementation Date: March 31, 2019

### Recommendation #2

Management Response: Once the committee has met and established a new form and process for the outside activity-conflict of interest, Human Resources will collaborate with General Counsel to revise the HR-15.02 Employee Code of Conduct policy.

Responsible Party: Associate Vice President Jamie Sprague, Human Resources

Targeted Implementation Date: November 30, 2018

### Recommendation #3

Management Response: The recommended committee will meet to streamline the approval process for the Outside Activity-Conflict of Interest form and take into consideration the recommendations as outlined in the Internal Auditing and Compliance audit report. The placement of the form into DocuSign will allow for such items as "triggers," streamlining the approval process, and automatic email reminders.

Responsible Party: Associate Vice President Jamie Sprague, Human Resources

Targeted Implementation Date: October 30, 2018

### Recommendation #4

Management Response: A single Outside Activity-Conflict of Interest form will be developed by the recommended committee.

Responsible Party: Associate Vice President Jamie Sprague, Human Resources

Targeted Implementation Date: October 30, 2018

### Recommendation #5

Management Response: The recommended committee will develop the pros/cons of obtaining an annual positive confirmation from each university employee. This will be presented to Human Resources and Academic Affairs who will made the determination on whether the university should obtain an annual positive confirmation from each university employee.

Responsible Party: Associate Vice President Jamie Sprague, Human Resources

Targeted Implementation Date: August 31, 2018

Recommendation #6

Management Response: An ad hoc committee has been formed to include Human Resources, Academic Affairs, Research & Sponsored Programs, General Counsel, ITS, and Procurement & Contracts. This committee will meet periodically and complete recommendations #2-#5.

Responsible Party: Associate Vice President Jamie Sprague, Human Resources

Targeted Implementation Date: June 11, 2018

## **EXECUTIVE SUMMARY**

We audited the operations of the Hal Marcus College of Science and Engineering Dean's Office (HMCSE) for the period of July 1, 2016, through December 31, 2017. This audit was included as part of our 2017/18 audit work plan, determined by our annual risk assessment. Our objectives were to evaluate internal controls over:

- Financial activities, contractual agreements, management oversight, and safety and security,
- Compliance with University policies, procedures, and applicable laws, and
- Effectiveness and efficiency of operations.

Audit fieldwork began on January 5, 2018, and ended on May 14, 2018. Our audit was conducted in accordance with the Institute of Internal Auditors *International Standards for the Professional Practice of Internal Auditing* and generally accepted auditing standards.

## **BACKGROUND**

The Hal Marcus College of Science and Engineering (HMCSE) is experiencing exciting times, with numerous new projects and initiatives going on. The University broke ground on the Natural Sciences Lab Annex in January 2018, with an expected completion in Summer 2019. HMCSE has been successful over the past few years in private fund-raising efforts and in securing research dollars.

The College plays a critical role in University retention efforts, with State appropriations budgeting metrics that stress programs of strategic emphasis such as STEM subjects. Their efforts have included developing a STEM Living Learning Community, a STEM scholars collaboration with the National Science Foundation, and special tutoring programs.

The HMCSE Dean's Office oversees nine academic departments, including Biology, Chemistry, Computer Science, Earth and Environmental Sciences, Electrical and Computer Engineering, Information Technology, Mathematics and Statistics, Mechanical Engineering, and Physics, as well as two research centers. To advance

their mission of "providing innovative programs of excellence in education, research, and public and professional service at both the undergraduate and graduate levels," HMCSE possesses a number of industry competitive program accreditations.

The Dean's Office employs an administrative staff of seven, as well as an Interim Dean, an Associate Dean, and an Assistant Dean. Each academic department is managed by a Chairperson who reports to the Dean. In conjunction with academic courses and research, the College operates in excess of 70 teaching and research laboratories across campus.

## **Notable Strength**

Our discussions with key College personnel disclosed a number of new initiatives being implemented by the HMCSE Information Technology staff. These new initiatives will increase security and enhance their information systems asset tracking system.

## **KEY OBSERVATIONS**

We found that controls over HMCSE Dean's Office administrative activities were generally strong, including compliance with laws, rules, and regulations; yet we make the following observations:

1. The UWF Office of Environmental Health & Safety (EH&S) has been delegated responsibility to provide laboratory safety training for the University community. Topics include Hazardous Waste Awareness, Biomedical Waste, and Fire Safety, among others. Faculty, staff, graduate and undergraduate research assistants, directed studies students and registered volunteers are required to attend training or, in some cases, take on-line courses, on an annual basis. This requirement is based not only on UWF policy but also meets the requirements of other federal and state agencies.

We selected 41 instructors who were required to participate in safety training prior to entering the laboratory in Spring Semester 2017. Audit testing

disclosed that 17 out of these 41 instructors had not taken their required training before they began working in the laboratory that semester, and at least 12 lab instructors were out of compliance for the preceding semester. It appears that although the proper courses were made available by EH&S, controls had not been established within the academic departments to ensure that all persons fulfilled the requirement.

The well-being of members of the University community must rank among our highest priorities, as we seek out every available avenue for ensuring a safe environment; therefore, adherence to laboratory safety training must remain a priority.

2. University employees who are contemplating travel activities are required to describe these activities and estimate the amount of funding required, documented on a "Travel Authorization Request" (TAR). These forms are submitted for review and approval, usually by the employee's supervisor. In Academic Affairs, specific guidance related to travel has been given in the "Standard Operating Procedures Signature Authority" document. It states that all TARs will be signed by the traveler, their

Supervisor, and the appropriate administrator in charge of the unit.

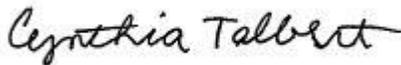
We conducted a test of Chairperson travel activities during the audit period. In nine instances of travel, we found that none of the TARs were approved by the Dean (the Chairpersons' supervisor). This approval process had been delegated to the College Business Manager; however, this does not comply with the Standard Operating Procedure.

### **Suggested Management Actions**

1. Going forward, HMCSE and EH&S should work in collaboration to refine their current process for ensuring all faculty, staff, graduate and undergraduate research assistants, directed studies students and registered volunteers are appropriately trained prior to conducting any work in University laboratories.
2. HMCSE Dean's Office should ensure that Travel Authorization Requests are signed by the employee's supervisor, in compliance with the policy set forth by Academic Affairs.

We appreciate the cooperation, professionalism, and responsiveness of the Hal Marcus College of Science and Engineering Dean's office staff who were involved in the audit.

Respectfully submitted,



**Cindy Talbert, CIA, CICA, CPA, CRMA**  
**Interim Internal Audit Director**



**Internal Auditing & Compliance**  
**Audit: HMCSE Dean's Office**  
**Report #: UWF17-18\_007**  
**Date: June 29, 2018**

**REPORT PROVIDED TO THE FOLLOWING:**

Dr. Martha Saunders, President  
Mort O'Sullivan, Chair BOT  
Bob Jones, Chair, Audit & Compliance Committee  
Dick Baker, Audit & Compliance Committee  
Robert Sires, Audit & Compliance Committee  
Dr. George Ellenberg, Senior Vice President and Provost  
Betsy Bowers, Interim Vice President  
Dr. Jaromy Kuhl, Interim Dean  
Pam Langham, General Counsel  
Peter Robinson, Director, Environmental Health & Safety  
Jaime Hoelscher, Manager, FL Auditor General  
Ken Danley, Supervisor, FL Auditor General  
Joe Maleszewski, BOG Chief Inspector General  
Lori Clark, BOG Compliance and Audit Specialist  
Rebecca Luntsford, BOT Liaison

**MANAGEMENT RESPONSES TO RECOMMENDATIONS**Recommendation #1

Management Response: EH&S will send a memo to all applicable Deans, Directors and Department Heads regarding EPA, DEP and UWF requirements related to training. EH&S will create a training calendar which will list all available future training. The calendar will be open for all to view. The HMCSE Dean will be notified of the dates of all scheduled training. The HMCSE Dean will notify each department (Chair, Office Administrators, and faculty) to inform them of the requirement and the training dates, and to ask that faculty inform Office Administrators of any students working in their labs. Faculty will be reminded, by their Chairs, during departmental meetings of the requirement to inform EH&S of any major process changes or additions. All applicable Department Office Administrators will provide names of department staff, faculty, Teaching Assistants, research assistants, registered volunteers, and directed study students that will require suitable training prior to the start of each semester. EH&S will enter the names into their training database and will compare to the signed roster from the scheduled training or on-line training. The department will check the database to identify individuals who did not attend. EH&S will provide the Dean's Office with editing privileges to the EH&S training database. The HMCSE Dean will work with Human Resources to institute disciplinary actions for persons failing to attend training. Any lab presently exempted from training requirements will be evaluated by EH&S on at least an annual basis to determine whether the existing exemption is appropriate.

Responsible Parties: Dean Jaromy Kuhl, EH&S Director Peter Robinson

Targeted Implementation Date: September 30, 2018

Recommendation #2

Management Response: The HMCSE Dean will sign Department Chair/Director travel authorization forms.

Responsible Party: Dean Jaromy Kuhl

Targeted Implementation Date: July 1, 2018

**UWF Board of Trustees Meeting**  
 Audit & Compliance Committee  
 August 13, 2018

**Issue:** Internal Auditing PCard Audit Reports: Results for Quarter 4 Update (April-June 2018) and the Annual Update (July 2017-June 2018)  
**Proposed action:** Acceptance

**Purpose**

To provide UWF Senior leadership a short, clear overview of the PCard audits completed during the quarter and highlight results.

**Background**

Internal Auditing & Management Consulting has been charged with auditing PCard holder and approver activity, departmental activities, and internal controls. The objectives of these audits were to determine if departments complied with UWF PCard policies and procedures, as well as to evaluate the level of understanding of PCard policies among PCard holders and approvers. UWF presently has approximately 402 PCard holders distributed across 147 departments. For the fiscal year, \$15,460,025 in expenses were paid via UWF PCards to 3,672 vendors (in 36,539 transactions).

**Notable Strengths**

The approvers consistently signed transaction documentation, and there were no findings involving missing documentation. The files were organized and account codes were consistently documented on the receipts. Internal control processes such as strong separation of duties and confidentiality of passwords were observed.

**Results for Quarter 4 (April –June 2018)**

Twelve departments<sup>1</sup> encompassing 35 cardholders were examined on a sample basis. Individual reports were distributed to department heads and Procurement & Contracts upon completion of the audits. The totals below show the volume of activity for these twelve departments and the amount tested. All reports are available from Internal Auditing & Management Consulting.

Number of Departments Reviewed	Number of Cardholders	Number of Transactions Occurring	Number of Transactions Tested	Total PCard Expenditures of Depts.	Total PCard Transactions Tested
12	35	1,317	284	\$447,313	\$289,604
<b>Audit Opinion for the PCard Audit<sup>1</sup></b>					
<b>EXCELLENT</b>	<b>GOOD</b>	<b>FAIR</b>	<b>POOR</b>	<b>Total</b>	
12	0	0	0	12	

<sup>1</sup> Departments audited: **Excellent** – Accounting and Finance, Career Development, CEPS Dean’s Office, CEPS Technology Support, COB Dean’s Office, Computer Science, HMCSE Dean’s Office, Government, International Affairs, Marketing Supply Chain Logistics and Economics, Student Involvement, and Teacher Education.

## Most Common Finding for Quarter 4 (April – June 2018)

1. Sales tax was paid and a refund not requested

## Results - Fiscal Year 2017/18

This is a summary of the PCard audit results for Fiscal Year 2017/18. Thirty-five departments<sup>2</sup> encompassing 165 cardholders were examined on a sample basis. Individual reports were distributed to department heads and Procurement upon completion of the audits. The totals below show the volume of activity for these 35 departments and the amount tested. All reports are available from Internal Auditing & Management Consulting.

Number of Departments Reviewed	Number of Cardholders Reviewed	Number of Transactions Occurring	Number of Transactions Tested	Total PCard expenses for these Depts.	Total PCard Transactions Tested
35	165	7,638	2,024	\$2,774,065	\$1,816,067
Audit Opinion for the PCard Audit <sup>2</sup>					
EXCELLENT	GOOD	FAIR	POOR	Total	
24	7	3	1	35	

## MOST COMMON FINDINGS IN THE FISCAL YEAR

1. The Department Head did not sign reconciliation reports.
2. Sales tax was paid and a refund not requested.
3. The business purpose of the transaction was not clearly documented.
4. Monthly reconciliation was not completed in a timely manner.

**Recommendation:** Acceptance of the Internal Auditing PCard Reports for the Quarter and Fiscal Year Summary of PCard Audits for FY 2017/18.

**Fiscal Implications:** Fiscal oversight by the UWF Board of Trustees

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**Prepared by:** Elizabeth Mrachek, PCard Auditor, 850-474-2639, [emrachek@uwf.edu](mailto:emrachek@uwf.edu)

**Presenter:** Cindy Talbert, Interim Internal Audit Director, 850-474-2638, [ctalbert@uwf.edu](mailto:ctalbert@uwf.edu)

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<sup>2</sup> Departments audited (listed by audit opinion): **Excellent** - Accounting and Finance, Career Development, CEPS Dean's Office, CEPS Technology Support, COB Dean's Office, Computer Science, HMCSE Dean's Office, CUTLA, ERCCD, Facilities, Government, Health Sciences, International Affairs, Marketing Supply Chain Logistics & Economics, Management and MIS, Math and Statistics, Nursing, Philosophy, Procurement, Psychology, Student Involvement, Teacher Education, Testing Services, and UWF SBDC; **Good** - Anthropology, Chemistry, Electrical and Computer Engineering, Intercollegiate Athletics, Internal Auditing and Compliance, President, and Social Work; **Fair** - Exercise Science, Global Hospitality and Tourism, and Library; **Poor** - FPAN.

**UWF Board of Trustees Meeting**  
 Audit & Compliance Committee  
 August 13, 2018

**Issue:** Florida Auditor General Statewide Bright Futures Audit for Fiscal Years 2015/16 and 2016/17  
**Proposed action:** Acceptance

**Background information:**

The Florida Bright Futures Scholarship Program was established by the Florida Legislature to provide lottery-funded scholarships to reward any Florida high school graduate who merits recognition of high academic achievement and enrolls in degree, certificate, or applied technology program at an eligible Florida public or private postsecondary educational institution within three years of high school graduation. The Florida Auditor General conducted an operational audit of the administration of the Florida Bright Futures Scholarship Program for Florida’s public universities and colleges. This audit covered fiscal years ending June 30, 2016 and June 30, 2017. **There were NO findings for UWF.**

For fiscal year 2015/16, disbursements to students enrolled in Florida’s 12 public universities and 28 public colleges were \$188,152,809 and \$13,072,966, respectively, for a total of \$201,225,775. For fiscal year 2016/17, public universities received \$171,832,553 and public colleges received \$10,362,268 totaling \$182,194,821. The \$19 million reduction in the amount of Program awards disbursed from the 2015/16 fiscal year to the 2016/17 fiscal year is attributed to the reduction in students who met the eligibility requirements. UWF’s Bright Futures Program figures are as follow (pages 7-8 of the statewide report).

Fiscal Year	Advances	Disbursements		
	From Dept of Education	Scholarship Awards to Students	Refunds to Dept of Education	Total Disbursements
2015/16	\$3,488,450	\$3,303,705	\$184,745	\$3,488,450
2016/17	\$2,880,928	\$2,791,579	\$89,349	\$2,880,928

**Recommendation:** Acceptance of the Florida Bright Futures Scholarship Program operational audit report

**Implementation Plan:** None

**Fiscal Implications:** UWF’s fiscal management of the Florida Bright Futures Scholarship awards

**Supporting document:** Florida Auditor General Operational Audit Report - Administration of the Florida Bright Futures Scholarship Program by Florida’s Public Universities and Colleges (#2018-212)

**Prepared by:** Cindy Talbert, Interim Director IAMC, 474-2638, ctalbert@uwf.edu

**Presenter:** Cindy Talbert

**ADMINISTRATION OF THE  
FLORIDA BRIGHT FUTURES  
SCHOLARSHIP PROGRAM  
BY FLORIDA'S  
PUBLIC UNIVERSITIES AND COLLEGES**



Sherrill F. Norman, CPA  
Auditor General

This audit was coordinated by Kathy Stich, CPA.

Please address inquiries regarding this report to Jaime N. Hoelscher, CPA, Audit Manager, by e-mail at [jaimehoelscher@aud.state.fl.us](mailto:jaimehoelscher@aud.state.fl.us) or by telephone at (850) 412-2868.

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**State of Florida Auditor General**

**Claude Pepper Building, Suite G74 • 111 West Madison Street • Tallahassee, FL 32399-1450 • (850) 412-2722**

# ADMINISTRATION OF THE FLORIDA BRIGHT FUTURES SCHOLARSHIP PROGRAM BY FLORIDA'S PUBLIC UNIVERSITIES AND COLLEGES

## **SUMMARY**

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This operational audit focused on the administration of the Florida Bright Futures Scholarship Program (Program) by Florida's public universities and colleges (institutions) for the fiscal years ended June 30, 2016, and June 30, 2017, and included a follow-up on findings noted in our report No. 2017-002. Our operational audit disclosed the following:

**Finding 1:** As similarly noted in our report No. 2017-002, 12 of the 40 institutions did not always timely remit undisbursed Program funds to the Florida Department of Education.

## **BACKGROUND**

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The Florida Legislature established the Florida Bright Futures Scholarship Program (Program)<sup>1</sup> to provide lottery-funded scholarships to any Florida high school graduate who merits recognition of high academic achievement and enrolls in a degree, certificate, or applied technology program at an eligible Florida public or private postsecondary educational institution within 3 years of high school graduation. The Program consists of three award types: the Florida Academic Scholarship, the Florida Medallion Scholarship, and the Florida Gold Seal Vocational Scholarship.

For the 2015-16 fiscal year, Florida's 12 public universities and 28 public colleges disbursed Program awards totaling \$201,225,775 to 101,486 students, with the amounts disbursed by the universities and colleges totaling \$188,152,809 and \$13,072,966, respectively. For the 2016-17 fiscal year, Florida's 12 public universities and 28 public colleges disbursed Program awards totaling \$182,194,821 to 88,603 students, with the amounts disbursed by the universities and colleges totaling \$171,832,553 and \$10,362,268, respectively. The \$19 million reduction in the amount of Program awards disbursed from the 2015-16 fiscal year to the 2016-17 fiscal year is attributed to the reduction in students who met the eligibility requirements.

Scholarship award amounts are established in the General Appropriations Act each year and recipients receive a fixed cost per credit hour based on award level, institution type, and credit type. The Florida Department of Education (FDOE) determines the eligibility of students based on general criteria for Program awards and specific criteria for the scholarship type. After students qualify for an award, they must continue to meet eligibility criteria for renewal awards. Renewal awards eligibility criteria include achieving and maintaining specified grade point averages and completing at least 24 semester credit hours in the last academic year in which the student earned a scholarship if enrolled full time, or a prorated number of credit hours as determined by the FDOE if the student was enrolled less than full time for any part of the academic year. **EXHIBIT A** to this report provides a summary of the advances and disbursements reported by each institution for the 2015-16 and 2016-17 fiscal years.

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<sup>1</sup> Section 1009.53, Florida Statutes.

The FDOE is responsible for administering the Program disbursement and reconciliation process. Each term, the FDOE provides to the institutions a list of eligible students and advances scholarship moneys for disbursement to the students enrolled at the respective institutions. The institutions are to verify that the students have enrolled in the required number of hours to receive the scholarship, calculate the amount of the disbursement based on the type of scholarship for which the student was eligible, and disburse the money to the student. Any moneys not disbursed to eligible students must be returned to the FDOE within 60 days after the end of the regular registration period. Unless the FDOE grants a student an exception, institutions must return Program funds to the FDOE within 30 days after the end of a semester for courses dropped by a student or from which a student has withdrawn after the end of the drop and add period. The institutions are also required to report disbursements, enrolled hours, earned hours, and grade point averages to the FDOE.

## ***FINDING AND RECOMMENDATION***

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### **Finding 1: Remittance of Undisbursed Advances**

State law<sup>2</sup> requires an institution receiving Program funds to remit to the FDOE any undisbursed advances within 60 days after the end of the regular registration period. The institutions remitted to the FDOE undisbursed advances totaling \$5.1 million for the 2015-16 fiscal year and \$2.6 million for the 2016-17 fiscal year.

Our examination of institution records disclosed that, although most of the 40 institutions timely remitted undisbursed advances to the FDOE, 12 institutions did not always ensure that undisbursed advances were remitted within the 60-day time frame. Table 1 identifies the 12 institutions, the semesters for which the Program funds were received, the amounts untimely remitted, and, for each applicable semester, the number of days late.

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<sup>2</sup> Section 1009.53(5)(b), Florida Statutes.

**Table 1  
Untimely Remittances of Undisbursed Advances**

No.	Institution	Fall 2015		Spring 2016		Fall 2016		Spring 2017		Summer 2017 <sup>a</sup>	
		Amount	Days Late	Amount	Days Late	Amount	Days Late	Amount	Days Late	Amount	Days Late
1	Florida International University	\$ -	-	\$ -	-	\$499,853	21	\$ -	-	\$ -	-
2	University of Florida <sup>a</sup>	-	-	-	-	-	-	-	-	215,276	10
3	Broward College	3,738	35	-	-	-	-	-	-	-	-
4	College of Central College	-	-	-	-	21,875	22	5,892	36	-	-
5	Eastern Florida State College	77,366	10	-	-	-	-	-	-	-	-
6	Florida Keys Community College	5,241	223 and 315	-	-	4,850	100	-	-	-	-
7	Florida State College at Jacksonville	121,938	230	18,091	95	64,321	46	-	-	-	-
8	Hillsborough Community College	-	-	17,724	7	-	-	-	-	-	-
9	Polk State College	60,475	82	-	-	-	-	-	-	-	-
10	St. Johns River State College	30,600	136	-	-	-	-	9,164	17	-	-
11	Seminole State College of Florida	119,834	230	-	-	19,498	73	-	-	-	-
12	State College of Florida, Manatee-Sarasota	47,211	8	-	-	-	-	-	-	-	-

<sup>a</sup> Section 1009.215, Florida Statutes, only authorizes University of Florida students in a student enrollment pilot program to receive Program awards for the summer term.

In response to our inquiries, institution personnel indicated that the delayed remittances occurred because, for example, institutions had not established procedures to timely remit undisbursed advances or personnel misunderstood the 60-day remittance requirement. Broward College, Hillsborough Community College, and Seminole State College of Florida were noted in a similar finding in our report No. 2017-002 and Seminole State College of Florida was also noted in a similar finding in our report No. 2014-159.

**Recommendation: Management at the applicable institutions should establish or enhance procedures to ensure that undisbursed Program funds are timely remitted to the FDOE. Such enhancements could include appropriate training to ensure that institution personnel understand the statutory requirement to timely remit the funds within 60 days after the end of the regular registration period.**

## ***PRIOR AUDIT FOLLOW-UP***

The public universities and colleges had taken corrective actions for findings included in previous audit reports of the institutions' administration of the Florida Bright Futures Scholarship Program, except as noted in Finding 1 and shown in Table 2.

**Table 2  
Institutions Also Noted in Previous Audit Report Findings**

Institution	Finding	Audit Report No. 2017-002, Finding	Audit Report No. 2014-159, Finding
Broward College	1	2	Not Applicable
Hillsborough Community College	1	2	Not Applicable
Seminole State College of Florida	1	2	2

## ***OBJECTIVES, SCOPE, AND METHODOLOGY***

The Auditor General conducts operational audits of governmental entities to provide the Legislature, Florida’s citizens, public entity management, and other stakeholders unbiased, timely, and relevant information for use in promoting government accountability and stewardship and improving government operations. Pursuant to Section 1009.53(5)(c), Florida Statutes, in connection with our financial audits conducted pursuant to Section 11.45(2)(c), Florida Statutes, we conducted an operational audit of the administration of the Bright Futures Scholarship Program (Program) by the State’s 12 universities and 28 colleges for the fiscal years ended June 30, 2016, and June 30, 2017.

We conducted this operational audit from May 2017 through April 2018 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

The objectives of this operational audit were to:

- Determine the extent to which the institutions administered Program funds in accordance with applicable laws, rules, and other guidelines relating to the Program; properly accounted for funds received and distributed through the Program; maintained and prepared reliable financial records and reports; and safeguarded Program assets.
- Determine whether management had taken corrective actions for findings included in our report No. 2017-002.
- Identify statutory and fiscal changes that may be recommended to the Legislature pursuant to Section 11.45(7)(h), Florida Statutes.

This audit was designed to identify, for the activities or functions of the Program included within the scope of our audit, weaknesses in management’s internal controls; instances of noncompliance with applicable laws, rules, regulations, and other guidelines; and instances of inefficient or ineffective operational policies, procedures, or practices. The focus of this audit was to identify problems so that they may be corrected in such a way as to improve government accountability and efficiency and the stewardship of management. Professional judgment has been used in determining significance and audit risk and in selecting the particular transactions, legal compliance matters, records, and controls considered.

As described in more detail below, for the activities and functions of the Program included within the scope of our audit, our audit work included, but was not limited to, communicating to management and those charged with governance the scope, objectives, timing, overall methodology, and reporting of our

audit; obtaining an understanding of the Program, exercising professional judgment in considering significance and audit risk in the design and execution of the research, interviews, tests, analyses, and other procedures included in the audit methodology; obtaining reasonable assurance of the overall sufficiency and appropriateness of the evidence gathered in support of our audit findings and conclusions; and reporting on the results of the audit as required by governing laws and auditing standards.

Our audit included transactions, as well as events and conditions, occurring during the audit period of July 2015 through June 2017, and selected institution actions taken subsequent thereto. Unless otherwise indicated in this report, these records and transactions were not selected with the intent of statistically projecting the results, although we have presented for perspective, where practicable, information concerning relevant population value or size and quantifications relative to the items selected for examination.

An audit by its nature does not include a review of all records and actions of management, staff, and vendors and, as a consequence, cannot be relied upon to identify all instances of noncompliance, fraud, waste, abuse, or inefficiency.

In conducting our audit, we:

- From the population of students who received \$383,420,596 in Program funds during the 2015-16 and 2016-17 fiscal years, examined documentation supporting awards made for 500 students<sup>3</sup> selected from all 40 institutions to:
  - Determine whether the students were properly classified as to residency, had earned high school diplomas, and were enrolled in a minimum of 6 credit hours and no more than 45 credit hours.
  - Determine whether the students were awarded the proper amount for the scholarship earned.
  - Verify the accuracy of credit hours earned and the cumulative grade point averages shown on the grade and hour reports submitted to the FDOE.
  - Determine whether each institution timely filed its grade and hour reports with the FDOE.
- Examined institution records for the 2015-16 and 2016-17 fiscal years to determine whether each institution filed Disbursement Eligibility Reports with the FDOE within 30 days of the last day of the drop and add period for each term.
- Examined institution records for the 2015-16 and 2016-17 fiscal years to determine whether the institutions refunded to the FDOE, within 30 days after the end of the semester, funds received for courses a student had dropped or withdrawn.
- Examined institution records for the 2015-16 and 2016-17 fiscal years to determine whether each institution returned unused Program funds to the FDOE within 60 days after the end of the regular registration period.
- Communicated on an interim basis with applicable officials to ensure the timely resolution of issues involving controls and noncompliance.
- Performed various other auditing procedures, including analytical procedures, as necessary, to accomplish the objectives of the audit.

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<sup>3</sup> We initially selected for testing awards made to 10 students at each of the 40 institutions. The number of awards selected for testing was subsequently expanded at 3 institutions.

- Prepared and submitted for management response the findings and recommendations that are included in this report and which describe the matters requiring corrective actions. Management's response is included in this report under the heading **MANAGEMENT'S RESPONSE**.

## ***AUTHORITY***

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Section 1009.53(5)(c), Florida Statutes, requires the Auditor General to conduct an operational audit of the administration of the Florida Bright Futures Scholarship Program by Florida's public universities and colleges. Pursuant to the provisions of Section 11.45, Florida Statutes, I have directed that this report be prepared to present the results of our operational audit.



Sherrill F. Norman, CPA  
Auditor General

# EXHIBIT A

## SUMMARY OF FLORIDA BRIGHT FUTURES SCHOLARSHIP PROGRAM ADVANCES AND DISBURSEMENTS BY PUBLIC UNIVERSITY AND COLLEGE

FOR THE FISCAL YEAR ENDED JUNE 30, 2016

No.	Institution	Advances <sup>a</sup>		Disbursements <sup>a</sup>		Disbursements Under Advances
		From FDOE	Awards to Students	Refunds to FDOE	Total Disbursements	
1	Florida Agricultural and Mechanical University	\$ 1,485,367	\$ 1,362,833	\$ 119,843	\$ 1,482,676	\$ 2,691 <sup>b</sup>
2	Florida Atlantic University	7,378,344	6,753,517	624,827	7,378,344	-
3	Florida Gulf Coast University	5,839,296	5,494,119	345,177	5,839,296	-
4	Florida International University	12,302,729	11,689,494	608,658	12,298,152	4,577 <sup>b</sup>
5	Florida Polytechnic University	876,809	862,297	14,512	876,809	-
6	Florida State University	36,158,776	35,743,221	415,555	36,158,776	-
7	New College of Florida	1,989,426	1,736,333	253,093	1,989,426	-
8	University of Central Florida	35,457,827	35,438,773	17,126	35,455,899	1,928 <sup>b</sup>
9	University of Florida	57,105,474	55,444,640	1,661,304	57,105,944	(470) <sup>c</sup>
10	University of North Florida	7,156,022	6,883,142	272,880	7,156,022	-
11	University of South Florida	23,645,550	23,440,735	204,815	23,645,550	-
12	University of West Florida	3,488,450	3,303,705	184,745	3,488,450	-
<b>12</b>	<b>Total Public Universities</b>	<b>192,884,070</b>	<b>188,152,809</b>	<b>4,722,535</b>	<b>192,875,344</b>	<b>8,726</b>
1	Broward College	827,135	633,992	193,143	827,135	-
2	Chipola College	297,374	257,343	40,031	297,374	-
3	College of Central Florida	520,783	409,582	111,201	520,783	-
4	Daytona State College	567,588	485,726	81,862	567,588	-
5	Eastern Florida State College	721,495	630,338	91,157	721,495	-
6	Florida Gateway College	185,840	169,970	15,870	185,840	-
7	Florida Keys Community College	28,959	23,718	5,241	28,959	-
8	Florida SouthWestern State College	487,638	388,137	99,501	487,638	-
9	Florida State College at Jacksonville	767,531	615,218	152,313	767,531	-
10	Gulf Coast State College	384,278	369,331	14,947	384,278	-
11	Hillsborough Community College	754,985	566,517	188,468	754,985	-
12	Indian River State College	683,220	570,066	113,154	683,220	-
13	Lake-Sumter State College	346,588	279,654	66,934	346,588	-
14	Miami Dade College	1,321,336	1,018,408	302,928	1,321,336	-
15	North Florida Community College	64,857	46,931	17,926	64,857	-
16	Northwest Florida State College	300,209	240,019	60,190	300,209	-
17	Palm Beach State College	716,101	552,714	163,387	716,101	-
18	Pasco-Hernando State College	489,319	408,740	80,579	489,319	-
19	Pensacola State College	354,346	260,624	93,722	354,346	-
20	Polk State College	427,300	331,500	95,800	427,300	-
21	St. Johns River State College	386,739	338,048	48,691	386,739	-
22	St. Petersburg College	936,614	777,614	159,000	936,614	-
23	Santa Fe College	1,249,807	1,072,503	177,304	1,249,807	-
24	Seminole State College of Florida	683,579	553,098	130,481	683,579	-
25	South Florida State College	125,992	92,461	33,531	125,992	-
26	State College of Florida, Manatee-Sarasota	483,791	430,259	53,532	483,791	-
27	Tallahassee Community College	799,255	581,652	217,603	799,255	-
28	Valencia College	1,348,286	968,803	379,483	1,348,286	-
<b>28</b>	<b>Total Public Colleges</b>	<b>16,260,945</b>	<b>13,072,966</b>	<b>3,187,979</b>	<b>16,260,945</b>	<b>-</b>
<b>40</b>	<b>Total</b>	<b>\$209,145,015</b>	<b>\$201,225,775</b>	<b>\$7,910,514</b>	<b>\$209,136,289</b>	<b>\$ 8,726</b>

<sup>a</sup> Amounts reported by institutions as of December 31, 2016.

<sup>b</sup> Amount subsequently refunded to the FDOE for student withdrawals and accounting record adjustments.

<sup>c</sup> Amount represents accounting record adjustments.

**SUMMARY OF FLORIDA BRIGHT FUTURES SCHOLARSHIP PROGRAM  
ADVANCES AND DISBURSEMENTS BY PUBLIC UNIVERSITY AND COLLEGE**

**FOR THE FISCAL YEAR ENDED JUNE 30, 2017**

No.	Institution	Advances <sup>a</sup>		Disbursements <sup>a</sup>		Disbursements Under Advances
		From FDOE	Awards to Students	Refunds to FDOE	Total Disbursements	
1	Florida Agricultural and Mechanical University	\$ 1,193,033	\$ 1,071,008	\$ 122,025	\$ 1,193,033	\$ -
2	Florida Atlantic University	5,839,511	5,497,568	341,943	5,839,511	-
3	Florida Gulf Coast University	4,815,891	4,462,332	353,559	4,815,891	-
4	Florida International University	10,149,815	9,410,493	742,043	10,152,536	(2,721) <sup>b</sup>
5	Florida Polytechnic University	1,154,493	1,156,347	-	1,156,347	(1,854) <sup>b</sup>
6	Florida State University	33,460,869	33,060,206	377,555	33,437,761	23,108 <sup>c</sup>
7	New College of Florida	1,714,102	1,602,937	111,165	1,714,102	-
8	University of Central Florida	31,760,885	31,725,922	34,963	31,760,885	-
9	University of Florida	56,777,911	54,732,476	2,072,349	56,804,825	(26,914) <sup>d</sup>
10	University of North Florida	6,106,009	5,950,744	155,265	6,106,009	-
11	University of South Florida	20,756,476	20,370,941	385,535	20,756,476	-
12	University of West Florida	2,880,928	2,791,579	89,349	2,880,928	-
<b>12</b>	<b>Total Public Universities</b>	<b>176,609,923</b>	<b>171,832,553</b>	<b>4,785,751</b>	<b>176,618,304</b>	<b>(8,831)</b>
1	Broward College	583,233	501,458	81,775	583,233	-
2	Chipola College	235,601	220,319	15,282	235,601	-
3	College of Central Florida	366,748	335,552	31,196	366,748	-
4	Daytona State College	424,184	362,232	61,952	424,184	-
5	Eastern Florida State College	587,757	585,825	1,932	587,757	-
6	Florida Gateway College	187,119	184,480	2,639	187,119	-
7	Florida Keys Community College	15,617	10,767	4,850	15,617	-
8	Florida SouthWestern State College	343,718	288,206	55,512	343,718	-
9	Florida State College at Jacksonville	521,338	449,940	71,398	521,338	-
10	Gulf Coast State College	310,731	265,144	45,587	310,731	-
11	Hillsborough Community College	497,064	432,513	64,551	497,064	-
12	Indian River State College	465,889	377,146	88,743	465,889	-
13	Lake-Sumter State College	246,138	215,733	30,405	246,138	-
14	Miami Dade College	883,112	814,486	68,626	883,112	-
15	North Florida Community College	43,175	36,141	7,034	43,175	-
16	Northwest Florida State College	223,883	216,430	7,453	223,883	-
17	Palm Beach State College	490,347	459,143	31,204	490,347	-
18	Pasco-Hernando State College	366,439	326,782	39,657	366,439	-
19	Pensacola State College	239,366	230,771	8,595	239,366	-
20	Polk State College	304,010	247,253	56,757	304,010	-
21	St. Johns River State College	306,847	276,979	29,868	306,847	-
22	St. Petersburg College	635,759	535,463	100,296	635,759	-
23	Santa Fe College	1,050,223	992,861	57,362	1,050,223	-
24	Seminole State College of Florida	490,853	460,024	30,829	490,853	-
25	South Florida State College	92,424	71,846	20,578	92,424	-
26	State College of Florida, Manatee-Sarasota	332,946	261,173	71,773	332,946	-
27	Tallahassee Community College	545,202	435,943	109,259	545,202	-
28	Valencia College	856,336	767,658	88,678	856,336	-
<b>28</b>	<b>Total Public Colleges</b>	<b>11,646,059</b>	<b>10,362,268</b>	<b>1,283,791</b>	<b>11,646,059</b>	<b>-</b>
<b>40</b>	<b>Total</b>	<b>\$188,255,982</b>	<b>\$182,194,821</b>	<b>\$6,069,542</b>	<b>\$188,264,363</b>	<b>\$ (8,381)</b>

<sup>a</sup> Amounts reported by institutions as of December 31, 2017.

<sup>b</sup> Represents amount the FDOE owed the University due to a student appeal or due to additional disbursements.

<sup>c</sup> Amount subsequently refunded to the FDOE for student withdrawals.

<sup>d</sup> Amount represents accounting record adjustment.

# MANAGEMENT'S RESPONSE

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June 4, 2018

Sherrill F. Norman, CPA  
Auditor General  
State of Florida  
Claude Denson Pepper Building, Suite G74  
111 West Madison Street  
Tallahassee, Florida 32399-1450

Dear Ms. Norman,

Please find our response to the preliminary and tentative findings related to the audit of Florida Bright Futures Scholarship for the 2016 and 2017 aid years.

**Finding 1:** Remittance of Undisbursed Advances

State law requires an institution receiving Program funds to remit to the FDOE any undisbursed advances within 60 days after the end of the regular registration period. Florida International University was found to have returned \$499,853 for the Fall 2016 semester 21 days late on November 18, 2016.

**Response:**

Florida International University concurs with the finding. The university has enhanced procedures to ensure that funds are returned within the 60-day deadline.

Sincerely,

A handwritten signature in dark ink, appearing to read "Francisco Valines", is written over a horizontal line.

Francisco Valines  
Director of Financial Aid

ENROLLMENT MANAGEMENT & SERVICES  
Financial Aid Office

11200 S.W. 8th St., PC 125 • Miami, FL 33199 • Tel: 305-348-7000 • Fax: 305-348-2346 • www.fiu.edu

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and Chief Financial Officer  
Finance and Accounting Division  
University Controller's Office  
<http://fa.ufl.edu/uco/>

207 Tigert Hall  
PO Box 113200  
Gainesville, FL 32611-3200  
352-392-1321  
352-392-4760 Fax

May 15, 2018

Sherrill F. Norman, CPA  
Auditor General  
Office of the Auditor General  
111 West Madison Street  
G74 Claude Pepper Building  
Tallahassee, FL 32399-1450

Dear Ms. Norman,

This letter is in response to your correspondence dated May 4, 2018, concerning the audit of the Florida Bright Futures Scholarship Program for the fiscal years ended June 30, 2016 and June 30, 2017.

**Finding 1.** State law requires an institution receiving Program funds to remit to the FDOE any undisbursed advances within 60 days after the end of the regular registration period. The institutions remitted to the FDOE undisbursed advances totaling \$5.1 million for the 2015-16 fiscal year and \$2.6 million for the 2016-17 fiscal year.

Our examination of institution records disclosed that, although most of the 40 institutions timely remitted undisbursed advances to the FDOE, 12 institutions did not always ensure that undisbursed advances were remitted within the 60-day time frame. Table 1 identifies the 12 institutions, the semesters for which the Program funds were received, the amounts untimely remitted, and, for each applicable semester, the number of days late.

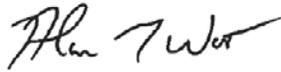
**University's Response:** The University of Florida (UF) had one remittance that was not submitted within the required 60-day time frame. UF's Innovation Academy is a program unique for the State of Florida and allows UF students to receive Bright Futures funding for the summer term. UF has a formal protocol for the return of all summer A/C and B term undisbursed funds within 60 days after the end of the summer B term regular registration period. The Auditor General's review found that UF should have been returning undisbursed funds separately for both summer A/C and B terms.

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UF agrees with the Auditor General's recommendation to enhance procedures to ensure that undisbursed program funds are timely remitted to the FDOE within 60 days from the end of both summer A/C and summer B regular registration periods and has already implemented those enhancements. The appropriate personnel have been trained on the current statutory requirement and automated reminders have been activated notifying management to initiate timely remittance of refunds well in advance of the required deadline.

Your staff's assistance is greatly appreciated.

Sincerely,



Alan M. West  
Assistant Vice President and University Controller

cc: Dr. Kent Fuchs, President, University of Florida  
University of Florida Board of Trustees  
Dr. Joseph Glover, Provost and Sr. Vice President for Academic Affairs  
Mr. Michael V. McKee, Vice President and Chief Financial Officer  
Brian Mikell, Chief Audit Executive  
Dr. Zina Evans, Vice President for Enrollment Management  
Richard Wilder, Director, Student Financial Affairs



Chief Financial Officer  
Cypress Creek Administrative Center  
6400 N.W. 6th Way, Fort Lauderdale, FL 33309  
Phone 954-201-7435 / Fax 954-201-7309

June 1, 2018

Sherrill F. Norman,  
CPA Auditor General  
Claude Denson Pepper Building, Suite G74  
111 West Madison Street  
Tallahassee, Florida 32399-1450

Dear Ms. Norman:

On May 4, 2018, Broward College received the preliminary and tentative audit findings and recommendations related to Broward College's administration of the Florida Bright Futures Scholarship Program for fiscal years ended June 30, 2016 and June 30, 2017 and below is our response.

**Finding 1: Remittance of Undisbursed Advances**

**Recommendation:** Management at the applicable institutions should establish or enhance procedures to ensure that undisbursed Program funds are timely remitted to the FDOE. Such enhancements could include appropriate training to ensure that institution personnel understand the statutory requirement to timely remit the funds within 60 days after the end of the regular registration period.

**Response:** Acknowledged. Internal processes and procedures were enhanced at the beginning of 2016 to ensure that undisbursed Program funds are timely remitted to the FDOE. Those enhancements are evident by subsequent period testing where no deficiencies were noted.

Should have you any questions, please contact my office directly at 954-201-7423.

Sincerely,

**Jayson Iroff**

Jayson Iroff  
Chief Financial Officer

AN EQUAL ACCESS/EQUAL OPPORTUNITY INSTITUTION



## College of Central Florida

Office of the President

May 29, 2018

Ms. Sherrill F. Norman, CPA  
State of Florida Auditor General  
2441 NW 43rd Street, Suite 5-C  
Gainesville, Florida 32606-7480

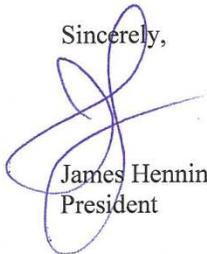
Dear Ms. Norman:

The College of Central Florida is in receipt of the audit finding regarding the Florida Bright Futures Scholarship Program of Florida's Public Universities and Colleges for the Fiscal Years Ended June 30, 2016 and June 30, 2017. In response to Finding No. 1: Remittance of Undisbursed Advances, please accept the following:

- The College has taken corrective action and improved its procedures to ensure that undisbursed program funds are returned to the Florida Department of Education, Office of Student Financial Assistance within the time frame provided by law.

Please let me know if you have any questions regarding this corrective action.

Sincerely,



James Henningsen  
President

3001 SW College Road • Ocala, Florida 34474-4415  
Phone: 352-873-5835 • Fax: 352-873-5847 • E-mail: jim.henningsen@cf.edu  
– an equal opportunity college –



**President**

James H. Richey, J.D.

**Board of Trustees**

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3865 N. Wickham Road  
Melbourne, Florida 32935  
321/632-1111  
Fax: 321/433-7065

**Cocoa Campus**

1519 Clearlake Road  
Cocoa, Florida 32922  
321/433-7060  
Fax: 321/433-7064

**Melbourne Campus**

3865 N. Wickham Road  
Melbourne, Florida 32935  
321/632-1111  
Fax: 321/433-5618

**Palm Bay Campus**

250 Community College Pkwy.  
Palm Bay, Florida 32909  
321/632-1111  
Fax: 321/433-5305

**Titusville Campus**

1311 North U.S. 1  
Titusville, Florida 32796  
321/632-1111  
Fax: 321/433-5113

**Website**

easternflorida.edu



May 8, 2018

Sherrill F. Norman  
Auditor General  
State of Florida  
Claude Denson Pepper Building, Suite G74  
111 West Madison Street  
Tallahassee, FL 32399-1450

RE: Response- 2017 Florida Bright Futures Scholarship Program  
Fiscal Years Ended June 30, 2016 and June 30, 2017

Dear Ms. Norman:

The following is our statement of explanation and corrective action to the preliminary and tentative finding and recommendation from your operational audit of the Administration of the Florida Bright Futures Scholarship Program by Florida's Public Universities and Colleges for the Fiscal Years Ended June 30, 2016 and June 30, 2017.

Finding 1: Remittance of Undisbursed Advances

Eastern Florida State College concurs with the recommendation. The college has enhanced procedures to ensure that undisbursed Program funds are timely remitted to the FDOE.

Sincerely,

Dr. James H. Richey  
President



**Florida Keys Community College**  
**Florida Bright Futures Scholarship Program, 1516 & 1617 Operational Audit**  
**Statement of Explanation**  
**May 22, 2018**

Florida Keys Community College (FKCC) was included in the preliminary and tentative audit finding of **Untimely Remittance of Undisbursed Advances** for the Florida Bright Futures Scholarship Program operational audit for Fiscal Years Ended June 30, 2016 and June 30, 2017. Below please find the written statement of explanation and corrective action plan concerning the finding.

**FYE June 30, 2016:**

Amount: \$5,241  
 Days Late: 223 (\$4,049)  
                   315 (\$1,192)

The FY16 Term 1 Refund of Undisbursed Funds for \$4,049 occurred on 6/9/2016. The former Director of Financial Aid completed the return and left no records or documentation pertaining to the late action.

The FY16 Term 1 Refund of Undisbursed Funds for \$1,192 occurred on 9/9/2016. As the new Director of Financial Aid my initial OSFA access/training took place 9/6/16. At that time OSFA discovered that the former Director failed to return \$1,192 in Term 1 unused\* 2015-16 Bright Futures (BF) Scholarship funds. The OSFA trainer instructed me to complete a Refund Transmittal Form and process the return to correct the oversight. I completed both on the same day, 9/6/16.

\*Please note that OSFA issued \$1,192 to FKCC on 6/14/16; 12 days *after* the Annual Reconciliation Report was submitted by FKCC reflecting a \$0 balance and closing out the cycle.

**FYE June 30, 2017:**

Amount: \$4,850  
 Days Late: 100

The FY2016-17 Term 1 Refund of Undisbursed Funds for \$4,850 occurred on 2/1/2017. My initial OSFA training took place 9/6/16, but changes in OSFA Training Staff and scheduling conflicts delayed completion until November 2016. At that time, OSFA contacted me with answers to several follow-up questions posed during training including fund return rules. The OSFA trainer stated unused BF funds must be returned each term, but due to the issues with training and timing, I could include \$4,850 along with my unused spring funds return. However, when I completed the spring 2017 Reconciliation on 1/21/17, OSFA owed FKCC \$85 for spring so there was no spring return. I therefore requested the fall \$4,850 be returned at this time (1/21/17).

The instruction occurred verbally; I have no written documentation pertaining to this portion.

**Corrective Action:**

The FKCC Financial Aid Office created an in-house OSFA calendar for all State funds (including Bright Futures) beginning spring 2017 that prompts staff to complete all actions associated with each award. Since implementation, all unused fund returns have occurred on time.

**Beryl Morgan**

---

Beryl Morgan  
Director of Financial Aid

May 9, 2018

Sherrill F. Norman, CPA  
Auditor General  
674 Claude Pepper Building  
111 West Madison Street  
Tallahassee, Florida 32399-1450

Dear Ms. Norman:

Let me express our sincere appreciation for the professional manner in which your staff conducted the audit. Following are the College's responses to the preliminary and tentative findings to be included in the bright futures audit report for the fiscal years ended June 30, 2016 and June 30, 2017.

**Finding No. 1: Remittance of Undisbursed Advances**

**Recommendation:** Management should establish or enhance procedures to ensure that undisbursed program funds are timely remitted to the FDOE. Such enhancements could include appropriate training to ensure that institution personnel understand the statutory requirement to timely remit the funds within 60 days after the end of the regular registration period.

**Response:** The use of multiple registration periods in one semester to provide classes at times that meet student needs has increased the complexity of complying with this requirement. The College will review and implement the appropriate procedures to ensure that undisbursed program funds are timely remitted.

Should you have any questions or concerns, please feel free to call me.

Sincerely,



Albert P. Little  
Vice President, Business Services  
Florida State College at Jacksonville



## Hillsborough Community College

Office of the President  
Dr. Ken Atwater

www.hccfl.edu

39 Columbia Drive  
Tampa, FL 33606  
813.253.7050  
Fax 813.253.7183

June 4, 2018

Sherrill F. Norman, CPA  
Auditor General  
State of Florida  
Claude Denson Pepper Building, Suite G74  
111 West Madison Street  
Tallahassee, Florida 32399-1450

RE: Audit Finding—Florida Bright Futures Scholarship

Dear Ms. Norman,

Please find our response to the preliminary and tentative findings related to the audit of Florida Bright Futures Scholarship for the fiscal years ended June 30, 2016 and June 30, 2017.

**Finding:** Untimely remittance of undisbursed advances.

**Recommendation:** Management at the applicable institutions should implement or enhance procedures to ensure that undisbursed Program funds are timely returned to the Florida Department of Education.

**Response:** Hillsborough Community College concurs with this finding. The College has enhanced procedures to ensure that funds are returned within the required timeframe of sixty (60) days.

Please feel free to contact Dr. Kenneth Ray, Vice President of Student Service and Enrollment Management, with any questions at 813-253-7054, or at kray6@hccfl.edu.

Sincerely,

  
Dr. Ken Atwater  
President

cc: District Board of Trustees  
Mr. Al Erdman  
Dr. Kenneth Ray



May 21, 2018

Sherrill F. Norman, CPA  
Auditor in General  
Claude Denson Pepper Building, Suite G74  
111 West Madison Street  
Tallahassee, Florida 32399-1450

RE: Florida Bright Futures Scholarship Program Audit for Fiscal Years ending June 30, 2016 and June 30, 2017

Dear Ms. Norman:

Please see below an explanation and corrective action in response to the finding revealed during your recent audit of Polk State College's Student Financial Services office:

**Finding:**

Untimely Remittance of Undisbursed Advances

**Explanation:**

The untimely remittance of undisbursed advances to the Florida Department of Education occurred because there was a change in staff employment, which created the oversight.

**Corrective Action:**

The Director and Assistant Director of Student Financial Services will ensure all deadlines are met and refunds returned timely. There will be a departmental calendar with all state and federal deadlines to assist with timely reporting.

Please don't hesitate to contact me if you need further information or have any questions and/or concerns.

Sincerely,

A handwritten signature in black ink that reads 'Angela M. Garcia Falconetti'.

Dr. Angela M. Garcia Falconetti  
President

Polk State Office of the President

999 Avenue H, N.E.  
Winter Haven, FL  
33881-4299  
o 863.297.1098

***We are Polk.™***



100 Weldon Boulevard | Sanford, FL 32773-6199 | 407.708.4722 | seminolestate.edu

May 24, 2018

Sherrill F. Norman  
Auditor General  
Claude Denson Pepper Building, Suite G74  
111 West Madison Street  
Tallahassee, Florida 32399-1450

Dear Ms. Norman:

We are providing this letter in response to the preliminary and tentative findings and recommendations from the operational audit of the Administration of the Florida Bright Futures Scholarship Program for the Fiscal Years Ended June 30, 2016 and June 30, 2017. Our actual and proposed corrective actions for Finding 1 are detailed below:

**In response to Audit Finding 1: Remittance of Undisbursed Advances –**

Seminole State College has created a separate State Reporting and Refund Calendar that is now monitored by a minimum of two staff members in order to ensure that the return of funds will take place prior to the established deadlines.

Additional training has been provided to staff to ensure compliance. Due to our 12 week and B session add/drop dates being much later into the term, our final disbursements for a term happen after the deadline to return funds. The College has changed its procedure to return funds in compliance with the deadline, regardless of when that occurs relative to the final disbursements for 12 week or B term schedule. We did not have any late returns after the Fall of 2016 when the revised procedure was implemented.

If you have any further questions regarding this matter, please contact Judith Cooper, Associate Vice President, Financial Services, [cooperja@seminolestate.edu](mailto:cooperja@seminolestate.edu) or at (407) 708-2138.

Sincerely,

A handwritten signature in blue ink that reads 'Richard L. Collins'.

Richard L. Collins  
Interim Vice President and Chief Financial Officer

**Altamonte Springs | Geneva | Heathrow | Oviedo | Sanford/Lake Mary**  
A Diverse Learning Community | An Equal Access/Equal Opportunity College



## STATE COLLEGE OF FLORIDA, MANATEE-SARASOTA

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OFFICE OF THE PRESIDENT  
Carol F. Probstfeld, Ed.D.

May 30, 2018

Sherrill F. Norman, CPA  
Auditor General  
State of Florida  
3505 East Frontage Rd, Suite 350  
Tampa, FL 33607

Dear Ms. Norman:

Enclosed is our response to the Preliminary and Tentative Findings and Recommendations on our Bright Futures Scholarship Program audit for the State College of Florida, Manatee-Sarasota for the fiscal year ended June 30, 2016 and June 30, 2017

Please let me know if you have questions or need additional information.

Sincerely,

Dr. Carol F. Probstfeld, President  
State College of Florida-Manatee-Sarasota

---

scf.edu • Mailing Address: P.O. Box 1849, Bradenton, FL 34206 • Office Phone: 941-752-5201

SCF BRADENTON  
5840 26th Street West • 941-752-5000

SCF LAKEWOOD RANCH  
7131 Professional Parkway East • 941-363-7000

SCF VENICE  
8000 South Tamiami Trail • 941-408-1300

**RESPONSE TO THE PRELIMINARY AND TENTATIVE AUDIT FINDING  
AND RECOMMENDATION  
STATE COLLEGE OF FLORIDA, MANATEE-SARASOTA**

OPERATIONAL AUDIT  
FOR THE FISCAL YEARS ENDED JUNE 30, 2016 and JUNE 30, 2017

The following is the State College of Florida, Manatee-Sarasota response to the finding identified in the State Auditor General's Operational Audit Report for the Fiscal Year Ended June 30, 2016 and June 30, 2017.

**RESPONSE TO FINDING AND RECOMMENDATION**

**Finding No. 1: Remittance of Undisbursed Advances.**

Recommendation: Management should establish or enhance procedures to ensure that undisbursed Program funds are timely returned to the FDOE.

**College Response:**

The College has taken steps to ensure timely return of funds within 60 days after the end of the regular registration period. Specifically, the Office of Financial Aid has:

- Provided training for staff specifically responsible for reviewing reports and processing returns.
- Developed a calendar with specific dates for reconciliation and return of funds.



**ST. JOHNS RIVER**  
**STATE COLLEGE**

JOE H. PICKENS, J.D., PRESIDENT  
5001 ST. JOHNS AVENUE | PALATKA, FL 32177-3807  
(386) 312-4113 | JoePickens@SJRstate.edu

**PALATKA CAMPUS** 5001 ST. JOHNS AVENUE  
PALATKA, FL 32177-3807 | (386) 312-4200

**ST. AUGUSTINE CAMPUS** 2990 COLLEGE DRIVE  
ST. AUGUSTINE, FL 32084-1197 | (904) 808-7400

**ORANGE PARK CAMPUS** 283 COLLEGE DRIVE  
ORANGE PARK, FL 32065-7639 | (904) 276-6800

**SJRstate.edu**  
EQUAL OPPORTUNITY/EQUAL ACCESS  
COLLEGE

May 15, 2018

Ms. Sherrill F. Norman, CPA  
Auditor General  
330 Crossing Blvd., Suite 210  
Orange Park, Florida 32073

Dear Ms. Norman:

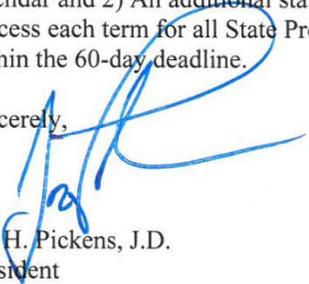
We are providing this letter in connection with the preliminary and tentative audit finding and recommendation on the operational audit of the Administration of the Florida Bright Futures Scholarship Program by Florida’s Public Universities and Colleges for the fiscal years ended June 30, 2016 and June 30, 2017.

Recommendation: Management at the applicable institutions should establish or enhance procedures to ensure that undisbursed Program funds are timely remitted to the FDOE. Such enhancements could include appropriate training to ensure that institution personnel understand the statutory requirement to timely remit the funds within 60 days after the end of the regular registration period.

**St. Johns River State College Response and Corrective Action Plan:**

St. Johns River State College recognizes the importance and the requirements of timely remittance of undisbursed Program funds. During the fiscal year 2016, staff turnover and restructuring of duties within the Financial Aid Department led to the delay in remitting funds to the FDOE. The corrective action plan includes adding staff and completion of training to ensure that appropriate personnel understand and abide by statutory requirements related to the timely remittance of the funds within 60 days after the end of the regular registration period. Management will provide oversight to the staff in two ways: 1) the creation of a Department Calendar to be located on the Financial Aid Shared Drive in which the OSFA Calendar deadlines are integrated into our working calendar and 2) An additional staff member will be responsible for assisting with the reconciliation process each term for all State Programs and ensure the requisition and refund of aid is returned within the 60-day deadline.

Sincerely,

  
Joe H. Pickens, J.D.  
President

**UWF Board of Trustees Meeting**  
Audit and Compliance Committee  
August 13, 2018

**Issue/Agenda Recommendation:** 2018 Florida Educational Equity Act Report

**Proposed Action:** Approval

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**Background Information:** The Florida Education Equity Act Report is completed annually by each Florida public university and includes information on the University's progress in implementing strategic initiatives related to equity and access in academic services, programs, and student enrollment; equity in athletics; and equity in employment as required by Regulation 2.003 Equity and Access. Each University's Florida Educational Equity Act Report is approved by the Board of Trustees and is submitted to the Board of Governors. The Student Enrollment and Employment reporting focuses on females and members of specified racial/ethnic groups. The Athletics portion of the report focuses on gender equity on the basis of Accommodation of Interests and Abilities. The 2018 Florida Education Equity Report is based on 2016-2017 data.

**Implementation Plan:** N/A

**Fiscal Implications:** N/A

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**Supporting documents:** 2018 Florida Education Equity Act Report and PowerPoint Presentation

**Prepared by:** Office of Equity & Diversity  
(850) 474-2059  
[respect@uwf.edu](mailto:respect@uwf.edu)

**Facilitator/Presenter:** Karen Rentz, MS, PHR, SHRM-CP  
Executive Director, Office of Equity & Diversity  
(850) 474-2175  
[krentz@uwf.edu](mailto:krentz@uwf.edu)



UNIVERSITY *of* WEST FLORIDA

# 2018 Florida Equity Report

**Enrollment, Gender Equity in Athletics, and Employment**

**Data Year: 2016-2017**

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**Approved by the University Board of Trustees**

September 27, 2018

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**Approved by UWF President, Dr. Martha Saunders**

September 27, 2018

**Submitted by:**

Karen Rentz

Executive Director, Office

of Equity & Diversity

University of West Florida

11000 University Parkway

Building 19

Pensacola, Florida 32514

(850) 474-2175

[krentz@uwf.edu](mailto:krentz@uwf.edu)

# 2018 FLORIDA EQUITY REPORT

Data Year: July 2016 – June 2017

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## **PART I EXECUTIVE SUMMARY**

The Florida Education Equity Act Report is completed annually by each Florida public university and includes information on the University's progress in implementing strategic initiatives related to equity and access in academic services, programs, and student enrollment; equity in athletics; and equity in employment as required by Regulation 2.003 Equity and Access. Each University's Florida Educational Equity Act Report is approved by the Board of Trustees and is submitted to the Board of Governors.

The University of West Florida's 2018 Florida Education Equity Report is based on 2016-2017 data. Discussion in this report referring to "this year" indicates 2016-2017 data, and discussion referring to "last year" indicates 2015-2016 data.

The University of West Florida (UWF) submits the 2018 Florida Educational Equity Act Report which identifies, measures, and enhances UWF's progress toward appropriate gender and racial representation. This report celebrates our successes and outlines our goals for areas in which we can improve the diversity of our campus community. The Student Enrollment and Employment reporting focuses on females and members of specified racial/ethnic groups. The Athletics portion of the report focuses on gender equity on the basis of Accommodation of Interests and Abilities.

Prior to Summer 2010, the protected classes were Black (B), non-Hispanic; Hispanic (H); Asian/Pacific Islander (A/PI); and American Indian/Alaska Native (AI/AN). Beginning Summer 2010, the Board of Education revised the racial classes to be used in this report. Asian/Pacific Islander (A/PI) became Asian (A). A new category of Native Hawaiian or Other Pacific Islander (NH/OPI) was added. In addition, individuals now have the ability to designate themselves as two or more races. Individuals are counted only once per category.

In 2014, a UWF Student Diversity Goals committee was formed. The purpose of this committee was to collectively set student diversity goals for the annual Florida Equity Report. The committee was composed of university employees such as the Chief Diversity Officer and the Assistant Vice President of Enrollment Affairs. This Committee met several times throughout 2014. As a result, the student diversity goals were changed from yearly goals to three-year goals. The three-year goals cover the 2014/2015, 2015/2016, and 2016/2017 data years. Additionally, setting three-year goals will better correlated with the University's comprehensive Diversity Plan (2014-2017).

The following areas assisted with gathering information for this report: Institutional Research, Research and Sponsored Programs, Enrollment Services, Academic Affairs, Student Affairs, Human Resources, and Intercollegiate Athletics.

## **Data Year: 2016-2017**

The University of West Florida excels in female representation in student enrollment and has a diverse minority representation. At the University, out of the 2,231 Bachelor's degrees received this year, 1,350 of them were received by females (61%) and 600 by minorities (27%). Out of the 829 Master's and Specialist's degrees received, 557 were received by females (67%) and 189 were minorities (23%). Also, out of the Doctoral degrees received, 50% were awarded to females.

The University of West Florida's gender equity in athletics program was effective for the report period. There were eight sports for female students and seven sports for male students. While no specific areas of improvement are suggested by the 2016-2017 data, there is significant planning underway to advance UWF athletics. Intercollegiate Athletics seeks to develop the resources to proactively address implications for compliance thresholds and to ensure that the accommodation of interest and abilities in athletics is maintained.

The University of West Florida's strategies for achieving diversity goals included the following action-oriented programs: Utilized an online recruiting and hiring process to increase the University's visibility to applicants for employment; required hiring managers to advertise in diversity-focused periodicals and discipline-specific journals; extended application deadlines and recommended additional diverse advertising on a case-by-case basis for job searches that had not resulted in a diverse pool of applicants; instituted additional outreach programs such as job fairs targeted to diverse applicants to recruit females, minorities, individuals with disabilities and veterans; identified the essential functions of positions and the skills and knowledge needed to carry out those functions before interviewing for positions; controlled for bias in the employment process by requiring that search committees represent gender and racial diversity; monitored selection procedures and applicant pool representation to ensure diversity in employment searches; continued to fund the John C. Pace Symposium series for outstanding diverse scholars to provide seminars and lectures at the University; listed student employment opportunities on the University's online recruitment system; complied with requirements of the Office of Federal Contract Compliance Program's Uniform Guidelines on Employee Selection Procedures; included access, equal opportunity and diversity factors in the strategic planning process; and provided the tuition waivers to faculty and staff.

## **Budget Plan**

UWF requires hiring managers to advertise each job posting in publications targeted to females and minority populations. Diversity recruitment advertising during the 2016-2017 data year was \$36,668.00. The University has been successful in increasing exposure of its position openings to females and minorities in the hiring market, and this will continue to be a priority.

UWF will continue multicultural/diversity training and grant opportunities. Funding is available for full-time faculty and staff to travel to obtain training on multiculturalism/diversity issues. Attendees share their knowledge by presenting what they have learned to the campus community.

The President's Award for Leadership in Diversity is provided annually to recognize the following: Demonstrated leadership and/or evidence of extensive, sustained participation in integrating issues of multiculturalism, diversity, or cross-cultural achievements in teaching, university service, or community service activities. Demonstrated leadership and/or evidence of personal engagement in the dissemination of information, or the implementation of events or activities that seek to enhance cross-cultural understanding and inclusion of people from under-represented groups in terms of ethnicity, race, gender, and/or socioeconomic status. Awards are given to a degree-seeking student, a faculty member, and a staff member.

**PART II: REVIEW OF POLICIES AND PROCEDURES**

**P-13.08-03/17 – Prohibition of Discrimination, Harassment, and Retaliation (EO Policy):**

<https://confluence.uwf.edu/display/UP/Prohibition+of+Discrimination%2C+Harassment+and+Retaliation>

**Procedure for Investigation and Disposition of Formal Complaints of Discrimination, harassment, or Retaliation:**

<https://uwf.edu/offices/equity-diversity/departments/equal-opportunity-programs/services-provided/procedure-for-formal-complaints/>

**HR-20.02-09/15 - Recruitment, Selection, and Appointment:**

<https://confluence.uwf.edu/display/UP/Recruitment%2C+Selection%2C+and+Appointment>

**P-14.02-02/15 - Sexual Misconduct, Sexual Violence, and Gender-Based Discrimination and Retaliation Policy (Title IX Policy):**

<https://confluence.uwf.edu/display/UP/Sexual+Misconduct%2C+Sexual+Violence%2C+Gender-Based+Discrimination+and+Retaliation>

The University’s primary policy in support of equity is the Policy Prohibiting Discrimination, Harassment, and Retaliation (P-13.08). This policy was amended in June 2016, with technical corrections made in March 2017. This policy is posted on the Human Resources Department’s electronic bulletin board on the Human Resources website and the Equal Opportunity Programs website. In addition, the policy is provided to new employees at New Hire Orientation. A statement of the University’s commitment to equal opportunity is also included on contracts. Equal opportunity training is required, along with information accessible from several departmental web sites.

Legend to racial codes used throughout this report:

- B – Black or African American
- H – Hispanic or Latino
- A – Asian
- NH/OPI – Native Hawaiian or Other Pacific Islander
- AI/AN – American Indian/Alaska Native
- ≥Two – Two or more races
- Unk - Unknown

PART III: ACADEMIC PROGRAM REVIEWS –

<b>Table 1. Fulltime First Time In College Enrollment, Fall and Early Admits Fall 2017, Fall 2016, and Fall 2012</b>										
	<b>NRA</b>	<b>Asian</b>	<b>AI AN</b>	<b>B</b>	<b>H</b>	<b>W</b>	<b>NH OPI</b>	<b>&gt;TW O</b>	<b>Unk</b>	<b>Total</b>
<b>Men</b>	6	18	4	37	58	353	2	25	4	507
<b>Women</b>	7	17	3	46	53	397	1	41	4	569
<b>Total FTIC Fall 2017</b>	13	35	7	83	111	750	3	66	8	1076
<b>Category % of Total Fall 2017</b>	1.2	3.3	0.7	7.7	10.3	69.7	0.3	6.1	0.7	100
<b>Total FTIC Fall 2016</b>	22	45	12	136	123	853	1	81	11	1284
<b>Category % of Total Fall 2016</b>	1.7	3.5	0.9	10.6	9.6	66.4	0.1	6.3	0.9	100
<b>Total FTIC Fall 2012</b>	20	53	4	238	187	1024	5	85	7	1623
<b>Category % of Total Fall 2012</b>	1.2	3.3	0.2	14.7	11.5	63.1	0.3	5.2	0.4	99.9
<b>Percentage Change in number from Fall 2012 to Fall 2017</b>	-35.0	-34.0	75.0	-65.1	-40.6	-26.8	-40.0	-22.4	14.3	-33.7

*Source: IPEDS Part A, Fall enrollment by race, ethnicity, and gender. Column 1, Full-time, First-time students.*

Out of the total number of Fall 2017 FTIC students, 53% were female and approximately 30% were minorities. Diversity enrollment numbers increased for Hispanic and Native Hawaiian/Other Pacific Islander students. The three-year diversity goal was met for Black and Hispanic students in year one and Asian students in year two. American Indian/Alaska Native student category increased in both year two and three by over 1%.

Three-year Diversity Goals for this category:

- Black students, 2 percentage points
- American Indian/Alaska Native students, none
- Asian students, 2 percentage points
- Hispanic students, 2 percentage points
- Native Hawaiian/Other Pacific Islander students, none

Table 2. Florida Community College A.A. Transfers												
	NRA	Asian	AI AN	B	H	W	NH OPI	>TWO	Unk	Female	Male	Total
<b>Total Fall 2017</b>	1	12	4	52	28	259	0	21	12	237	152	389
<b>Category % of Total Fall 2017</b>	0.3	3.1	1.0	13.4	7.2	66.6	0.0	5.4	3.1	60.9	39.1	100
<b>Total Fall 2016</b>	2	3	4	37	23	204	0	7	14	187	107	294
<b>Category % of Total Fall 2016</b>	0.7	1.0	1.4	12.6	7.8	69.4	0.0	2.4	4.8	63.6	36.4	100
<b>Total FTIC Fall 2012</b>	4	7	4	46	22	362	2	22	3	271	201	472
<b>Category % of Total Fall 2012</b>	0.8	1.5	0.8	9.7	4.7	76.7	0.4	4.7	0.6	57.4	42.6	100
<b>Category % Change 2012 to 2017</b>	-75.0	71.4	0.00	13.0	27.3	-28.5	-100.0	-4.5	300.00	-12.5	-24.4	-17.6

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

Diversity increased among Black, Asian, and those students reporting as two or more races and female students. Out of the 389 total transfer students, over 60% were female and 30% were minority students. The three year diversity goal was met for Black, Hispanic and female students in year one, Black, American Indian/Alaska Native, Hispanic and Native Hawaiian/Other Pacific Islander students in year two and Black, Asian and those students reporting as two or more races in year three. Female students increased by 8% during this three-year period over goal.

Three-year Diversity Goals for this category:

- Black students, 3 percentage points
- American Indian/Alaska Native students, none
- Asian students, 9 percentage points
- Hispanic students, 2 percentage points
- Native Hawaiian/Other Pacific Islander students, none

**Table 3. Retention of Fulltime FTIC's Entering Fall 2016 or Summer 2016 and Continuing into Fall, after One Year**

	<b>NRA</b>	<b>Asian</b>	<b>AI AN</b>	<b>B</b>	<b>H</b>	<b>W</b>	<b>NH OPI</b>	<b>&gt;TWO</b>	<b>Unk</b>	<b>Female</b>	<b>Male</b>	<b>Total</b>
<b>Fall 2016 Cohort</b>	22	45	12	136	124	851	1	81	12	694	590	1284
<b>Category % of Total</b>	1.7	3.5	0.9	10.6	9.7	66.3	0.1	6.3	.9	54	46	
<b>After 1 Year</b>	20	42	9	101	89	658	1	62	7	558	431	989
<b>Retention Rate</b>	90.9	93.3	75	74.3	71.8	77.3	100	76.5	58.3	80.4	73.1	

*Source: Student Instruction File. FTICs who matriculated in Fall 2016, plus those FTICs who matriculated in Summer 2016 and enrolled in Fall 2016*

Retention percentages from the previous year's retention percentages increased among Asian, Black, and female students. Out of total number students retained after one year, 54% were female students and 32% were minority students. The three-year diversity goals were met for Asian, Hispanic students in year two and Asian, Black, and Hispanic students for year three. Although a goal to increase was not stated for American Indian/Alaska Native students, this category increased in year two with 100% retention. Female students also increased in each three years.

Three-year Diversity Goals for this category:

- Black students, 1 percentage point
- American Indian/Alaska Native students, none
- Asian students, 1 percentage point
- Hispanic students, 1 percentage point
- Native Hawaiian/Other Pacific Islander students, none

Table 4. Graduation Rate of Fulltime FTICs Beginners and Early Admits Entering Fall 2016 or Summer 2016 and Continuing into Fall After Six Years												
Category	NRA	Asian	AI AN	B	H	W	NH OPI	>TWO	Unk	F	M	Total
<b>Cohort</b>	20	38	9	154	100	879	3	63	6	698	580	1278
<b>Category % of Total</b>	2.0	3.0	0.7	12.1	7.8	68.8	0.2	4.9	0.5	54.6	45.4	
<b>AFTER 6 YEARS</b>												
<b>Number of Graduates</b>	12	19	4	66	45	383	1	31	3	344	220	564
<b>Percent Graduated</b>	46.2	50.0	44.4	42.9	45.0	43.6	33.3	49.2	50.0	49.3	37.9	
<b>Category % Graduated</b>												
<b>Number Retained</b>	13	21	4	77	56	434	1	35	4	377	268	645
<b>Percent Retained</b>	50.0	55.3	44.4	50.0	56.0	49.4	33.3	55.6	66.7	54.0	46.2	

*Note: FTIC includes Beginners and Early Admits.*

The number of American Indian/Alaska Native, Black, and those identifying as two or more races who graduated after six years increased. The number of retained students increased for American Indian/Alaska Native, Hispanic, Native Hawaiian/Other Pacific Islander and those identifying as two or more races. The three-year diversity goal for graduation was met for Hispanic students in year one, Black students in year two and Black students in year three. Although a goal to increase was not stated for American Indian/Alaska Native and those students identifying as two or more races, increases were achieved in year two and three.

Three-year Diversity Goals for this category:

- Black students, 2 percentage points
- American Indian/Alaska Native students, none
- Asian students, 1 percentage point
- Hispanic students, 1 percentage point
- Native Hawaiian/Other Pacific Islander students, none

Table 5. Bachelor's Awarded, AY 2015-2016, AY 2014-2015, AY 2010-2011										
Category	NRA	Asian	AI AN	B	H	W	NH OPI	>TWO	Unk	Total
<b>AY 2016-2017</b>										
Male	41	25	4	72	75	580	3	40	18	858
Female	51	49	5	145	128	896	5	46	18	1343
Total	92	74	9	217	203	1476	8	86	36	2201
Category % of Total	4.2	3.4	0.4	9.9	9.2	67.1	.4	3.9	1.6	
<b>AY 2015-2016</b>										
Male	34	29	3	64	64	564	5	38	13	814
Female	45	36	8	133	110	909	0	66	23	1330
Total	79	65	11	197	174	1473	5	104	36	2144
Category % of Total	2.96	3.0	0.5	9.2	8.1	68.7	.2	4.9	1.7	
<b>AY 2011-2012</b>										
Male	20	38	7	68	35	580	1	11	0	760
Female	11	50	13	146	69	985	2	14	3	1293
Total	31	88	20	214	104	1565	3	25	3	2053
Category % of Total	1.5	4.3	1.0	10.4	5.1	76.2	0.1	1.2	0.1	
<i>Source: IPEDS Completions, GRAND TOTAL BY FIRST MAJOR, Bachelor's degrees. Table for 99.0000, all disciplines.</i>										

Compared to last year, the total number of Bachelor degrees awarded to Asian, Black, Hispanic, Native Hawaiian/Other Pacific Islander, and those students identifying as two or more increased. The three-year diversity goals were met for Black students in year one, Asian, and Black students year two and Asian, Black, and Hispanic students in year three. Although a goal to increase was not stated for American Indian/Alaska Native and those students who identified as two or more races, increases were achieved in year two and Native Hawaiian/Other Pacific Islanders students in year three.

Three-year Diversity Goals for this category:

- Black students, 1 percentage point
- American Indian/Alaska Native students, none
- Asian students, 1 percentage point
- Hispanic students, 2 percentage points
- Native Hawaiian/Other Pacific Islander students, none

Table 6. Master's Awarded, AY 2015-2016, AY 2014-2015, AY 2010-2011										
Category	NRA	Asian	AI AN	B	H	W	NH OPI	>TWO	Unk	Total
<b>AY 2016-2017</b>										
<b>Male</b>	19	5	1	24	18	190	0	7	7	271
<b>Female</b>	24	12	2	60	40	391	1	19	7	556
<b>Total</b>	43	17	3	84	58	581	1	26	14	827
<b>Category % of Total</b>	5.2	2.1	0.4	10.2	7.0	70.3	0.1	3.1	1.7	
<b>AY 2015-2016</b>										
<b>Male</b>	28	8	3	23	15	179	0	6	5	267
<b>Female</b>	23	11	4	50	39	395	0	3	3	528
<b>Total</b>	51	19	7	73	54	574	0	9	8	795
<b>Category % of Total</b>	6.4	2.4	0.9	9.2	6.8	72.2	0	1.1	1.0	
<b>AY 2011-2012</b>										
<b>Male</b>	15	2	1	13	12	134	0	2	0	179
<b>Female</b>	10	5	1	38	13	310	3	4	0	384
<b>Total</b>	25	7	2	51	25	444	3	6	0	563
<b>Category % of Total</b>	4.4	1.2	.4	9.1	4.4	78.9	0.5	1.1	0	

Source: IPEDS Completions, GRAND TOTAL BY FIRST MAJOR, Master's degrees. Table for 99.0000, all disciplines.

\*\*Includes Specialist Degrees

Compared to last year, the total number of degrees awarded to Black, Hispanic, and those identifying as two or more races increased. The three-year diversity goals were met for Hispanic student over all three years. Although a goal to increase was not stated for American Indian/Alaska Native, increases were achieved in years one and two and those students who identified as two or more races for year three.

Three-year Diversity Goals for this category:

- Black students, 3 percentage points
- American Indian/Alaska Native students, none
- Asian students, 2 percentage points
- Hispanic students, 3 percentage points
- Native Hawaiian/Other Pacific Islander students, none

**Table 7. Doctoral Degrees Awarded, AY 2015-2016, AY 2014-2015, AY 2010-2011**

<b>Category</b>	<b>NRA</b>	<b>Asian</b>	<b>AI AN</b>	<b>B</b>	<b>H</b>	<b>W</b>	<b>NH OPI</b>	<b>&gt;TWO</b>	<b>Unk</b>	<b>Total</b>
<b>AY 2016-2017</b>										
<b>Male</b>	0	0	0	0	0	1	0	0	0	1
<b>Female</b>	0	0	0	0	0	1	0	0	0	1
<b>Total</b>	0	0	0	0	0	2	0	0	0	2
<b>Category % of Total</b>	0	0	0	0	0	100.0	0	0	0	
<b>AY 2015-2016</b>										
<b>Male</b>	1	0	0	3	0	8	0	0	0	12
<b>Female</b>	0	1	0	0	0	6	0	0	0	7
<b>Total</b>	1	1	0	3	0	14	0	0	0	19
<b>Category % of Total</b>	5.3	5.3	0	15.8	0	73.7	0	0	0	
<b>AY 2011-2012</b>										
<b>Male</b>	0	0	0	2	0	4	0	0	0	6
<b>Female</b>	0	0	0	3	0	9	0	0	0	12
<b>Total</b>	0	0	0	5	0	13	0	0	0	18
<b>Category % of Total</b>	0	0	0	27.8	0	72.2	0	0	0	

Source: IPEDS Completions, GRAND TOTAL BY FIRST MAJOR, Doctoral degrees. Chart for 99.0000, all disciplines.

Out of the 2 Doctoral degrees awarded, one of them was received by a female (50%).

Three-year Diversity Goals for this category:

- Black students, 1 percentage point
- American Indian/Alaska Native students, none
- Asian students, 1 percentage point
- Hispanic students, 1 percentage point
- Native Hawaiian/Other Pacific Islander students, none

**Table 8. First Professional Degrees Awarded, AY 2015-2016, AY 2014-2015, and AY 2010-11**

	NRA	B	AI/AN	A	H	NH/OPI	W	≥ TWO	UNK	TOTAL
<b>AY 2015-2016</b>										
Male										0
Female										0
<b>Total</b>										0
<b>Category % of Total</b>										
<b>AY 2014-2015</b>										
Male										0
Female										0
<b>Total</b>										0
<b>Category % of Total</b>										
<b>AY 2010-2011</b>										
Male										0
Female										0
<b>Total</b>										0
<b>Category % of Total</b>										

The University of West Florida does not offer First Professional degrees.

## STUDENT SERVICES

Student Services at the University of West Florida are available to all students without regard to age, color, disability, gender (including gender identity and sex), marital status, national origin, race, religion, sexual orientation, and veteran status. Student Services include:

### 1) Academic Advising

Academic advising is required for all students. Incoming first year students, any student with less than 30 credits, and those who are undecided on major receive advising in the First Year Advising Center. Degree-seeking sophomore, junior, senior, and graduate students are assigned academic advisors by the department housing the program in which the student is majoring. Academic advising is also offered to students in the University's Honors and Student Success Programs tailored specifically to meet the needs of students in these special programs. Students are encouraged to meet with their academic advisors each semester to ensure that they are fulfilling their degree requirements. Advisors work to build partnerships with the students and ensure that students understand their responsibilities in completing their degree goals. Advisors help students choose or change a major, develop degree plans, assist with course selection, make students aware of graduation requirements, connect students with success resources, and help interpret academic policy.

### 2) Admission to Academic Program

UWF encourages applications from qualified persons and does not discriminate on the basis of age, color, disability, gender (including gender identity and sex), marital status, national origin, race, religion, sexual orientation, or veteran status.

### 3) The Student Disability Resource Center (SDRC)

The Student Disability Resource Center (SDRC) works with students and faculty to help make UWF an accessible learning environment in accordance with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act. The SDRC offers a variety of services for students with documented disabilities, including learning disabilities, deaf/hard of hearing, blind/low vision, mobility limitations, ADHD, psychiatric conditions, and medical disabilities. SDRC coordinates the following accommodations:

- Scribes
- Sign Language interpreting services
- Transcription and/or captioning
- Alternative format textbooks/course room materials
- Support for substitution or waiver of graduation requirements due to a disability (when appropriate)
- Notetaking Support
- Readers (screen reading software) for testing
- Adjustable desk/chair
- Testing accommodations

- Reduced distraction testing space
- Other accommodations as appropriate based on documentation

#### **4) Health Services**

Student Health Services (SHS) provides medical care for currently enrolled students. SHS strives to provide high-quality primary health care, health education, and prevention services to a culturally diverse student population through education and motivation for students to become full participants in their own health. This supports the University's commitment to promote academic success and personal development.

The University's Counseling and Psychological Services (CAPS) provides counseling and therapy to help students manage, cope, and grow with the stress associated with college and life. The primary goal of counseling is to help students develop the personal awareness and skills necessary to overcome problems and to develop in ways that will allow them to take advantage of the University's educational opportunities. CAPS provides confidential personal, vocational, and couples counseling to students at no charge. Psychologists assist students with issues such as depression, test anxiety, vocational indecision, relationship difficulties, interpersonal conflict, identity confusion, substance abuse, stress management, and other personal difficulties that may impede a student's academic progress. Workshops are offered on various topics including stress and time management, romantic relationships, interpersonal and personal functioning, and vocational development.

Wellness Services provides workshops, awareness events, health marketing campaigns, and other educational programming in the areas of alcohol and other drug abuse/misuse prevention, sexually transmitted infection prevention and sexual health promotion, and sexual assault prevention and risk reduction. All UWF faculty, staff, and students can request that the programs be presented to a class, residence hall, or organization. Wellness Services also coordinates the UWF Peer Educators program to promote student-driven health efforts which provide opportunities for students to help other students by promoting a student culture of kindness, responsibility, compassion, and respect.

The University has a 19,832 square-foot, state-of-the-art Health and Wellness Center on the main campus. This facility is a one-stop-shop for students' health and wellness needs. The center contains seven treatment rooms, two observation/treatment rooms, and a procedure room, which increases the number of students who can be treated each day. The center includes exterior plazas, an open glass lobby, and a roof garden. The building design and construction was certified to the U.S. Green Building Council LEED Silver level. Leadership in Energy and Environmental Design (LEED) Green Building Rating System is a benchmark for the design, construction, and operation of high performance green buildings that promotes a whole-building approach to sustainability by recognizing performance in five key areas of human and environmental health: sustainable site development, water savings, energy efficiency, materials selection, and indoor environmental quality.

## **5) Sport Clubs and Intramural Sports**

The mission of UWF's Intramural Sports program is to provide students, faculty, and staff with an opportunity to participate in a variety of competitive recreational sports in a safe environment; to promote and provide quality service, facilities, and equipment; to facilitate an opportunity for enjoyable experiences; to nurture and celebrate the wholesome and worthwhile use of leisure, healthy lifestyles, and wellness; and to create opportunities for the growth and development of all participants.

The Sport Club Program offers participants a wide range of recreational, instructional, or competitive teams to bridge the gap between intramural sports and intercollegiate athletics. Participants with similar interests are given the opportunity to work together on a team in an organized recreational activity. Teams are then offered the chance to practice and compete at a specialized level and clubs are given an opportunity to shape their own unique atmosphere. Membership in any sport club is open to all current University of West Florida students. Each club welcomes new members with no requirement to try-out for teams.

## **6) Fitness/Wellness**

The goal of Fitness/Wellness is to offer students a variety of opportunities to make physical activity and overall wellness a part of their daily lives. The Fitness/Wellness program area provides UWF students with a variety of Group Fitness classes for all levels each semester, ranging from cardio to yoga classes. Fitness/Wellness also offers multiple incentive programs to encourage students to participate and achieve their fitness goals throughout the semester. In addition to the Group Fitness classes, Fitness/Wellness also offers sessions with personal trainers and massage therapy.

## **7) Outdoor Adventures**

The Outdoor Adventures program provides the university community the chance to engage in exciting and entertaining outdoor recreation activities. The Outdoor Adventures Program is available to UWF groups for planning, supplying, and staffing outdoor recreation special events such as custom trips and clinics or ropes-course style trainings. One of the most popular aspects of Outdoor Adventures are the trips they offer each semester which are open to current students, faculty and staff of UWF. These trips allow participants to experience unique situations while meeting and interacting with new people. Outdoor Adventures also manages the climbing center, located in the center of the HLS Facility. The climbing center is a state-of-the-art, indoor wall accommodating all abilities and experience levels, and Routes are changed regularly to provide new challenges for regular visitors. The Climbing Center is open to all those who have access to the facility. The Outdoor Adventures program also manages the Bike Shop, which offers bike supplies and rentals, and the Disc Golf course on campus.

## **8) Aquatics**

The UWF Aquatic Center offers a wide variety of activities for the community to enjoy. It is open to students, staff, and faculty, as well as all members of the public who have a membership. Both recreational and fitness swimming are encouraged in the Olympic sized pool. Group and private swimming lessons are offered for children and adults at different skill levels. Lifeguard and Swim Instructor training courses are also available for individuals over the age of 16. The Aquatic Center

also offers private rentals for parties or other activities. Established as tradition in the 1970's, panhandle schools, churches and community groups continue to bring youth to the pool celebrating milestones, hosting award ceremonies and rewarding students for outstanding behavior and accomplishments. There are many different types of parties for groups to choose from with a variety of activities. In addition to these services, the Aquatic Center also houses a relaxing whirlpool and dry sauna for members to enjoy.

## 9) Student Financial Assistance

The mission of the Financial Aid Office is to help eligible students meet educational costs while attending UWF. A comprehensive program of scholarships, grants, part-time employment, and loans are available through federal, state and university funds. In cases where a student demonstrates extensive need, a combination of several types of aid may be extended, provided funds are available.

## 10) Housing

Through the responsible management of all resources, the Department of Housing and Residence Life strives to create a living and learning environment, which offers support and assistance to maximize educational opportunities to a diverse resident student population. Students living in campus housing are governed by a housing contract that includes Conditions and Responsibilities of Residents. Each student is responsible for knowing and observing UWF's regulations and policies as set forth in official UWF publications including, but not limited to, the UWF Housing Handbook and the UWF Student Handbook. The Standards for Community Living section of the UWF Student Handbook states the following:

*"The University of West Florida is a community of people from diverse cultural, racial, economic, and ethnic backgrounds; each person is a unique individual, drawn from a broad spectrum of our society. We strive to understand the individuality and the life choices of those among us. We can best learn from one another in an atmosphere of positive encouragement and mutual respect. In addition, we must give others the respect and tolerance that we ourselves deserve.*

UWF Housing spaces are assigned without regard to race, color, religion, national origin, sexual orientation or age. Housing and Residence Life provides accommodations for students with disabilities, and students with documented disabilities may request reasonable accommodation through the Student Disability Resource Center (SDRC). Following are examples of accommodations that the SDRC has made in collaboration with Housing and Residence Life for students with disabilities who live in University residence halls:

- Single occupancy rooms
- Separate refrigerators
- Locks for refrigerators
- Personal Care Attendants access to residence halls
- Handicap accessible showers & rooms

- First floor rooms
- Bringing own bed/mattress
- Adjustable shelves
- Service animals in residence halls
- Waiver of Meal Plans (when appropriate and in collaboration with Dining Services)

**11) Student Employment  
and**

**12) Personnel**

The University of West Florida is an Equal Opportunity/Equal Access/Affirmative Action institution. UWF seeks excellence through diversity among its administrators, faculty, staff, and students. UWF prohibits discrimination on the basis of race, color, religion, gender (both sex and gender identity), age, national origin, sexual orientation, disability, veteran status, or marital status. In an effort to increase the quality of student campus life and support services, the Human Resources Department has incorporated the recruitment of student employees in the University’s recruiting software (“PA7”). Numerous part-time, on-campus student employment opportunities are available in departmental offices and facilities. Student employment can range from jobs that require no special skills, previous training, or work experience to professional-level work requiring knowledge gained through completion of a bachelor’s degree. Student work schedules are tailored so as not to interfere with class schedules.

In 2012, The President’s Council on Diversity and Inclusion was created to advise the President and the administration of The University of West Florida on matters related to diversity and inclusion. The Council includes members of the UWF community and the regional community. In late 2013, the University hired a Chief Diversity Officer (CDO). Using a combination of institutional data and survey data, the Council worked with the Chief Diversity Officer to identify five overarching goals that the University will work to achieve over the course of the next three years (2014 – 2017). The full plan outlined strategies and a timeline for achieving them as well as those units responsible for implementation. The CDO worked closely with the appropriate units across campus to establish metrics to determine our success.

In addition, the University has an Office of Career Services to promote experiential learning and professional development for students and to expand and facilitate access to quality career opportunities for students. The mission of Career Services is to educate and empower UWF Students/Alumni in the career development process by providing opportunities for experiential learning, civic engagement, service and employment. Services, programs, and assistance are offered to all UWF students without

regard to race, color, religion, gender (sex and gender identity), age, national origin, sexual orientation, disability, veteran status, or marital status.

### **13) Educational and Work Environment**

The University of West Florida is a public university based in Northwest Florida with multiple instructional sites and a strong virtual presence. UWF's mission is to provide students with access to high-quality, relevant, and affordable undergraduate and graduate learning experiences; to transmit, apply, and discover knowledge through teaching, scholarship, research, and public service; and to engage in community partnerships that respond to mutual concerns and opportunities and that advance the economy and quality of life in the region. UWF is committed to planning and investing strategically to enhance student access and educational attainment; to build on existing strengths and develop distinctive academic and research programs and services that respond to identified regional and state needs; and to support highly qualified faculty and staff who engage students in rigorous, high-impact, student-oriented learning experiences that enhance personal and professional development and empower alumni to contribute responsibly and creatively to a complex 21st Century global society. UWF aspires to be widely recognized as a model of excellence and relevance, sought out as a distinctive intellectual and cultural center, valued as an engaged partner, and acclaimed for being "different by design."

UWF will continue multicultural/diversity training opportunities. Funding is available for full-time faculty and staff to travel to obtain training on multiculturalism/diversity issues. Applicants demonstrate how the training will benefit the diversity of the campus community and how attendance will contribute to the applicant's discipline, and how learning may be incorporated into diversity initiatives in the individual's department. Attendees share their knowledge by presenting what they have learned to the campus community.

UWF will continue its commitment to advertising career opportunities in female and minority publications; providing the annual President's Diversity Leadership Awards to faculty, staff, and students; making professional development leave available to faculty; and making tuition fee waivers and textbook scholarships available to faculty and staff. These strategies will ensure that the University remains visible to female and minority applicants, maintains budgetary incentive plans to recruit a diverse workforce, and provides educational scholarship assistance to further the University's goal of a culturally diverse campus.

**PART IV: GENDER EQUITY IN INTERCOLLEGIATE ATHLETICS**

<b>Chart 1. Gender Equity in Athletics Update</b>		
<b>Element</b>	<b>Assessment</b>	<b>Area for Improvement? (check if yes and describe)</b>
1. Sports offerings	8 women’s sports 7 men’s sports	
2. Participation rates, male and female, compared with full-time undergraduate enrollment	Student athletes: Male: 224 (62%) Female: 136 (38%)  Undergraduate students: Male: 3,083 (44%) Female: 3,905 (56%)	
3. Availability of facilities, <i>defined as locker room, practice, and competitive facilities</i>	Equitable	
4. Scholarship offerings for athletes	Male: \$1,614,250 (56%)  Female: \$1,281,650 (44%)	
5. Funds allocated for:		
a) the athletic program as a whole	\$9,337,887	
b) administration	\$777,345 shared equally by all sports programs	
c) travel and per diem allowances	<u>Male:</u> \$687,500 (64%) <u>Female:</u> \$379,650 (36%)	
d) recruitment	<u>Male:</u> \$55,000 (66%) <u>Female:</u> \$28,500 (34%)	
e) comparable coaching	<u>Male:</u> 6.00 FTE Head Coaches and 12.07 FTE Assistant Coaches  <u>Female:</u> 7.00 FTE Head Coaches	
f) publicity and promotion	Equitable	

g) other support costs	\$ 690,038	
6. Provision of equipment and supplies	Equitable	
7. Scheduling of games and practice times	Equitable	
8. Opportunities to receive tutoring	Equitable	
9. Compensation of coaches and tutors	<u>Male:</u> \$618,630 Head Coaches and \$591,750 Assistant Coaches  <u>Female:</u> \$555,812 Head Coaches and \$285,664 Assistant Coaches  Tutors: \$1,720.70	
10. Medical and training services	Equitable	
11. Housing and dining facilities and services	Equitable	

Chart 2: Gender Equity in Athletics – Areas for Improvement		
Areas for Improvement	Program for Improvement	Timetable
None Identified	N/A	N/A

**Check one basis below for assuring that the University is in compliance with the Florida Educational Equity Act:**

- X Accommodation of Interest and Abilities
- Substantial Proportionality
- History and Practice of Expansion of Sports

**PART V: EMPLOYMENT REPRESENTATION**

<b>Table 1. Category Representation - Tenured Faculty</b>												
<b>Indicator</b>	<b>NRA</b>	<b>Asian</b>	<b>AI AN</b>	<b>B</b>	<b>H</b>	<b>W</b>	<b>NH OPI</b>	<b>&gt;TWO</b>	<b>Unk</b>	<b>Female</b>	<b>Male</b>	<b>Total</b>
<b>Number, Fall 2017</b>	0	17	3	5	3	115	0	0	1	54	90	144
<b>Number, Fall 2016</b>	0	14	3	5	3	116	0	0	1	50	92	142
<b>Percentage Change from Fall 2016 to Fall 2017</b>	0.0%	17.65%	0.0%	0.0%	0.0%	-87%	0.0%	0.0%	0.0%	7.41%	-2.22%	1.39%
<b>Number, Fall 2012</b>	0	14	3	6	2	131	0	0	1	51	105	156
<b>Percentage Change from Fall 2012 to Fall 2017</b>	0.0%	17.65%	0.0%	-20.0%	33.33	-13.91	0.0%	0.0%	100.0	5.56%	-16.67	-8.33%
<b>Area for improvement, compared with national standards? (Check is yes)</b>												
Source: IPEDS Human Resources 2015 and IPEDS Human Resources 2016 Preliminary Data.												
IPEDS Human Resource Fall 2017 and Fall 2016, instructional faculty only. Does not include Research or Public Service only faculty.												
IPEDS Human Resources aligned with 2010 Standard Occupational Category (SCO) system												

From 2012 to 2017, tenured faculty diversity increased for Asian faculty and Hispanic faculty. From Fall 2016 to Fall 2017, the number of tenured Asian faculty increased by three and female faculty increased by four.

Table 2. Category Representation - Tenured-Track Faculty												
Indicator	NRA	Asian	AI AN	B	H	W	NH OPI	>TWO	Unk	Female	Male	Total
<b>Number, Fall 2017</b>	0	7	0	6	4	59	0	0	0	25	51	76
<b>Number, Fall 2016</b>	0	11	0	5	3	62	0	0	1	35	47	82
<b>Percentage Change from Fall 2016 to Fall 2017</b>	0.0%	-57.14%	0.0%	16.67	25.0	-5.08%	0.0%	0.0%	0.0%	-40.0%	7.84%	-7.89%
<b>Number, Fall 2012</b>	0	5	0	4	3	56	0	0	2	36	34	70
<b>Percentage Change from Fall 2012 to Fall 2017</b>	0.0%	28.57%	0.0%	33.33	25.0	5.08%	0.0%	0.0%	0.0%	-44.0%	33.33%	-7.89%
<b>Area for improvement, compared with national standards? (Check is yes)</b>												
<p>Source: IPEDS Human Resources 2015 and IPEDS Human Resources 2016 Preliminary Data.  IPEDS Human Resource Fall 2017 and Fall 2016, instructional faculty only. Does not include Research or Public Service only faculty.  IPEDS Human Resources aligned with 2010 Standard Occupational Category (SCO) system</p>												

From 2012 to 2017, the number of Asian faculty, Black faculty and Hispanic faculty increased. From Fall 2016 to Fall 2017 the number of Black faculty increased by one and the number of Hispanic faculty increased by one.

**Table 3. Category Representation - Non-Tenure-Earning Faculty or Faculty at Non-Tenure Granting Universities**

<b>Indicator</b>	<b>NRA</b>	<b>Asian</b>	<b>AI AN</b>	<b>B</b>	<b>H</b>	<b>W</b>	<b>NH OPI</b>	<b>&gt;TWO</b>	<b>Unk</b>	<b>Female</b>	<b>Male</b>	<b>Total</b>
<b>Number, Fall 2017</b>	0	7	0	9	2	96	0	2	2	73	45	118
<b>Number, Fall 2016</b>	0	6	0	9	3	102	0	2	2	75	49	124
<b>Percentage Change from Fall 2016 to Fall 2017</b>	0.0%	14.29%	0.0%	0.00%	-50.0	-6.25%	0.0%	0.0%	0.0%	-2.74%	-8.89%	-5.08%
<b>Number, Fall 2012</b>	0	3	0	5	3	85	0	1	1	51	47	98
<b>Percentage Change from Fall 2012 to Fall 2017</b>	0.0%	57.14%	0.0%	44.44	-50.0	11.46	0.0%	0.0%	50.0%	30.14%	-4.44%	16.95%
<b>Area for improvement, compared with national standards? (Check is yes)</b>												

Source: IPEDS Human Resources 2015 and IPEDS Human Resources 2016 Preliminary Data.

IPEDS Human Resource Fall 2017 and Fall 2016, instructional faculty only. Does not include Research or Public Service only faculty.

IPEDS Human Resources aligned with 2010 Standard Occupational Category (SCO) system

From Fall 2012 to Fall 2017, the number of non-tenure earning Asian faculty increased. From Fall 2016 to Fall 2017, non-tenured faculty diversity increased for Asian faculty, Black faculty, and female faculty.

Table 4. Category Representation - Executive/Administrative/Managerial												
Indicator	NRA	Asian	AI AN	B	H	W	NH OPI	>TWO	Unk	Female	Male	Total
Number, Fall 2017	0	7	0	17	9	234	0	4	0	167	104	271
Number, Fall 2016	0	6	0	18	8	231	0	3	0	159	107	266
Percentage Change from Fall 2016 to Fall 2017	0.0%	14.29%	0.0%	-5.88	11.11%	-1.28%	0.0%	25.0%	0.0%	4.79%	-2.88%	1.85%
*Number, Fall 2012	0	5	0	14	8	167	0	2	0	118	76	194
*Percentage Change from Fall 2012 to Fall 2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Area for improvement, compared with national standards? (Check is yes)												
Source: IPEDS Human Resources 2015 and IPEDS Human Resources 2016 Preliminary Data.												
IPEDS Human Resource Fall 2017 and Fall 2016, instructional faculty only. Does not include Research or Public Service only faculty.												
IPEDS Human Resources aligned with 2010 Standard Occupational Category (SCO) system												
*Beginning in fall 2012, UWF reported all Executive/Administrative/Managerial employees to IPEDS based on the new SOC codes and did so in subsequent years. Thus, growth rates for this category of employees and for total employees at the University will not be comparable between Fall 2012 and any previous year.												

From Fall 2016 to Fall 2017, diversity increased among Asian and Hispanic staff, staff identifying as Two or More, and female staff.

**PART VI: AREAS OF IMPROVEMENT/ACHIEVEMENT**

Last Year's Goals from 2017 Report	Achievements in 2018 Report
<p align="center"><b><i>Academic Services, Programs, and Student Enrollment</i></b></p>	<p align="center"><b><i>Academic Services, Programs, and Student Enrollment</i></b></p>
<p>Three-year Diversity Goals:</p> <ul style="list-style-type: none"> <li>• Black students, 2 percentage points</li> <li>• Asian students, 2 percentage points</li> <li>• Hispanic students, 2 percentage points</li> </ul>	<p align="center"><u>Chart 1: Full-Time First-Time-in-College</u></p> <p>Out of the total number of Fall 2017 FTIC students, 53% were female and approximately 30% were minorities. Diversity enrollment numbers increased for Hispanic and Native Hawaiian/Other Pacific Islander students. The three-year diversity goal was met for Black and Hispanic students in year one and Asian students in year two. Although a goal to increase was not stated for American Indian/Alaska Native students, this category increased in both year two and three by over 1%.</p>
<p>Three-year Diversity Goals:</p> <ul style="list-style-type: none"> <li>• Black students, 3 percentage points</li> <li>• Asian students, 9 percentage points</li> <li>• Hispanic students, 2 percentage points</li> </ul>	<p align="center"><u>Chart 2: Full-Time College Transfers</u></p> <p>Diversity increased among Black, Asian, and those students reporting as two or more races and female students. Out of the 389 total transfer students, over 60% were female and 30% were minority students. The three year diversity goal was met for Black, Hispanic and female students in year one, Black, American Indian/Alaska Native, Hispanic and Native Hawaiian/Other Pacific Islander students in year two and Black, Asian and those students reporting as two or more races in year three. Female students increased by 8% during this three-year period over goal.</p>
<p>Three-year Diversity Goals:</p> <ul style="list-style-type: none"> <li>• Black students, 1 percentage point</li> <li>• Asian students, 1 percentage point</li> <li>• Hispanic students, 1 percentage point</li> </ul>	<p align="center"><u>Chart 3: Retention of Full-Time FTICs</u></p> <p>Retention percentages from the previous year's retention percentages increased among Asian, Black, and female students. Out of total number students retained after one year, 54% were female students and 32% were minority students. The three-year diversity goals were met for Asian, Hispanic students in year two and Asian, Black, and Hispanic students for year three. Although a goal to increase was not stated for American Indian/Alaska Native students, this category increased in year two with 100% retention. Female students also increased in each three years.</p>
<p>Three-year Diversity Goals:</p> <ul style="list-style-type: none"> <li>• Black students, 2 percentage points</li> <li>• Asian students, 1 percentage point</li> <li>• Hispanic students, 1 percentage point</li> </ul>	<p align="center"><u>Chart 4: Graduation Rate of Full-Time FTICs after 6 years</u></p> <p>The number of American Indian/Alaska Native, Black, and those identifying as two or more races who graduated after six years increased. The number of retained students increased for American Indian/Alaska Native, Hispanic, Native Hawaiian/Other Pacific Islander and those identifying as two or more races. The three-year diversity goal for graduation was met for Hispanic students in year one, Black students in year two and Black students in year three. Although a goal to increase was not stated for American Indian/Alaska Native and those students identifying as two or more races, increases were achieved in year two and three.</p>

<p>Three-year Diversity Goals:</p> <ul style="list-style-type: none"> <li>• Black students, 1 percentage point</li> <li>• Asian students, 1 percentage point</li> <li>• Hispanic students, 2 percentage points</li> </ul>	<p><u>Chart 5: Bachelor’s Degrees Awarded</u></p> <p>Compared to last year, the total number of Bachelor degrees awarded to Asian, Black, Hispanic, Native Hawaiian/Other Pacific Islander, and those students identifying as two or more increased. The three-year diversity goals were met for Black students in year one, Asian, and Black students year two and Asian, Black, and Hispanic students in year three. Although a goal to increase was not stated for American Indian/Alaska Native and those students who identified as two or more races, increases were achieved in year two and Native Hawaiian/Other Pacific Islanders students in year three.</p>
<p>Three-year Diversity Goals:</p> <ul style="list-style-type: none"> <li>• Black students, 3 percentage points</li> <li>• Asian students, 2 percentage points</li> <li>• Hispanic students, 3 percentage points</li> </ul>	<p><u>Chart 6: Master’s and Specialist Degrees Awarded</u></p> <p>Compared to last year, the total number of degrees awarded to Black, Hispanic, and those identifying as two or more races increased. The three-year diversity goals were met for Hispanic student over all three years. Although a goal to increase was not stated for American Indian/Alaska Native, increases were achieved in years one and two and those students who identified as two or more races for year three.</p>
<p>Three-year Diversity Goals:</p> <ul style="list-style-type: none"> <li>• Black students, 1 percentage point</li> <li>• Asian students, 1 percentage point</li> <li>• Hispanic students, 1 percentage point</li> </ul>	<p><u>Chart 7: Doctoral Degrees Awarded</u></p> <p>Out of the 2 Doctoral degrees awarded, one of them was received by a female (50%).</p>
<p><b>Last Year’s Goals from 2017 Report</b></p>	<p><b>Achievements in 2018 Report</b></p>
<p><b><i>Gender Equity in Athletics</i></b></p>	<p><b><i>Gender Equity in Athletics</i></b></p>
<p>None identified.</p>	
<p><b><i>Employment</i></b></p>	<p><b><i>Employment</i></b></p>
<p>The University had an overall goal to increase diversity among female and minority staff.</p>	<p><u>Chart 1: Tenured Faculty</u></p> <p>From 2012 to 2017, tenured faculty diversity increased for Asian faculty and Hispanic faculty. From Fall 2016 to Fall 2017, the number of tenured Asian faculty increased by three and female faculty increased by four.</p>
	<p><u>Chart 2: Tenured-Track Faculty</u></p> <p>From 2012 to 2017, the number of Asian faculty, Black faculty and Hispanic faculty increased. From Fall 2016 to Fall 2017 the number of Black faculty increased by one and the number of Hispanic faculty increased by one.</p>
	<p><u>Chart 3: Non-Tenure-Earning Faculty</u></p> <p>From Fall 2012 to Fall 2017, the number of non-tenure earning Asian faculty increased. From Fall 2016 to Fall 2017, non-tenured faculty diversity increased for Asian faculty, Black faculty, and female faculty.</p>

Chart 4: Executive/Administrative/Managerial Staff

From Fall 2016 to Fall 2017, diversity increased among Asian and Hispanic staff, staff identifying as Two or More, and female staff.

The University of West Florida is dedicated to providing an inclusive and welcoming environment for all who interact in the University community and utilizes many efforts to increase the diversity and success of its students at all levels of the academic process. In continuing to build a diverse environment, UWF strives to attract students, faculty, and staff from a variety of cultures, backgrounds and life experiences.

### **University of West Florida's efforts to increase student diversity:**

#### ***Enrollment Management/Admissions***

Admissions diversity activities include utilizing social networking venues to reach targeted student groups; purchasing prospective student leads that include members of the targeted student groups; executing a more consistent and timely communication plan with prospective students, including those from these targeted student groups about the process of enrolling at UWF; continuing coordinated and focused call, mail, text, and email campaigns to address specific needs of the applicant and admit pools; strengthening student/applicant understanding of financial aid and its related processes through outreach in targeted communities; maintaining and strengthening relationships with students from targeted high schools throughout the state; and offering a user friendly web presence to interact and educate students on the application process.

#### ***The Division of Student Affairs***

The mission of the Division of Student Affairs at the University of West Florida is to work collaboratively with faculty, staff and students in alignment with the strategic direction of the University and to create supportive and inclusive environments so that all students may engage in purposeful activities and services that complement their educational experience and stimulate their holistic growth and development. Inclusion is one of the core Values of the Division of Student Affairs, embracing and respecting the diversity inherent in all people and creating an environment where all students can live, learn, and lead meaningful lives.

The Division of Student Affairs at the University of West Florida is dedicated to assisting students with their personal and professional development so they may reach their full potential. The Division provides quality services, programs and facilities that enrich the educational experience of students.

The Division has crafted six priorities based on the University of West Florida's Strategic Plan 2012-2017, which was adopted by the Board of Trustees in June 2012. The development of these priorities began at the Directors' Retreat in May 2012. Ideas were generated by this group and were evaluated by the Vice President for Student Affairs. Throughout the following academic school year, feedback on the development of divisional priorities shifted between the directors and members of the division via division wide meetings or departmental staff meetings. The final decision on priorities was made by the Vice President for Student Affairs.

Specific to the advancement of diversity and inclusion, the division's "Strategic Priority 1" is to "facilitate robust student life programs and services that support retention, persistence and degree completion." Over a dozen specific divisional "actions" are identified for the five-year strategic plan:

- P1.1 Review and strengthen the Delphi (first-year) and Oracle (second-year) residential learning communities.
- P1.2 Strategically develop new residential and non-residential learning communities in partnership with academic leadership.
- P1.3 Develop a University-wide first-year experience program and online presence.
- P1.4 Design and implement orientation experiences for student subpopulations (e.g., international, military veterans and TRIO) in collaboration with their "home" departments.
- P1.5 Increase the number, chapter membership and variety of social fraternities and sororities.
- P1.6 Update First Time In College student (FTIC) retention plan, and develop retention plans for student subpopulations such as transfers, graduate students, military and students of color.
- P1.7 Implement strategies to identify and assist "at risk" FTICs with their academic success.
- P1.8 Deliver services to students "where they are" including residence halls and other non-traditional locations.
- P1.9 Adapt office hours for essential and high volume service areas.
- P1.10 Develop a model for leadership development programs with a focus on major/career skill development.
- P1.11 Expand opportunities for men's engagement on campus.
- P1.12 Explore opportunities to partner with existing campus and community faith based organizations.
- P1.13 Implement a case management approach for students experiencing a hardship or crisis.
- P1.14 Increase the number industry-focused career fairs.
- P1.15 Increase the number of departments providing "don't cancel class" options for faculty.
- P1.16 Expand the contributions of student affairs staff at new faculty orientation.
- P1.17 Develop a plan for the continuing engagement of parents and families with the University and each other.

### ***New Student Orientation***

Attendance at orientation programs is mandatory for all incoming students and is a dynamic, engaging experience that is designed to prepare incoming students for their transition to UWF and to foster an overall understanding of the University. The Orientation

staff consists of 24 diverse student leaders. Orientation also has special breakouts for International, Military, Commuter and Non-traditional students. During Orientation, special attention is given to advising and registration, campus safety and security, Title IX and VAWA information and prevention strategies and connecting students to one another through small group meetings called “Argo to Argo”. Topics include student success tips and diversity issues.

All FTIC and transfer students are required to attend orientation. Transfer students have the option of completing an Online Orientation program specifically geared to their needs.

A Parent and Family Orientation program is run concurrently with the student program in order to establish a successful partnership with students, families and the University.

### ***The Delphi Living-Learning Community***

The Delphi Living-Learning Community (LLC), which began in August, 2008, is a First Year Experience (FYE) Program for freshman students living in Martin Hall. The purpose of the Delphi LLC is to create an educational living community for first-year students, giving them the opportunity to take the same classes, build friendships, and support each other through their first year of college, all of which helps ensure student success and retention. Delphi is broken out into two groups: Delphi Leadership which focuses on learning new leadership skills and community service; and Delphi Exploratory which centers around major and career exploration. Both Delphi groups consist of first year students, a staff faculty member, Resident Assistants, Argo Peer Academic Leaders (Argo PALs), and a Hall Director. Argo PALS serve as advisors, confidants, and educational mentors. They are the voice of experience for new students on a variety of topics such as making time to study or arranging class schedules. The size of the Delphi LLCs allow the students to feel as if they are part of a small living community. The Delphi LLCs are intended to support and to challenge each other so that every student has an amazing experience their first-year on campus both in the classroom and by engaging in high impact practices through living in the Delphi community. Delphi helps students become successful their first year at UWF through the combination of curriculum and co-curriculum activities and is built on three pillars:

- Academic Success
- Civic Engagement
- Interpersonal Development

Delphi helps students to become successful their first year at UWF through the combination of curriculum and co-curriculum activities.

### ***Argo Camp***

Argo Camp is an optional extended orientation program for incoming students. The camp promotes the initial friendship bonds between freshmen campers and selected faculty and staff in an effort to connect the students to campus, promote acceptance of diverse cultures, and provide experiences not offered by other universities. Argo Camp provides

an opportunity for first time in college students to have fun before their first semester at UWF. Students are transported to an off-campus conference facility for three days and two nights and are able to talk to current students and meet faculty members to learn about campus life and academics in a more relaxed atmosphere. Argo Camp has three sections: Adventure (camping), Service and Traditions. Students can choose between the three options. Statistics show that students who attend Argo Camp are more likely to be involved on campus and reach out to other students, which minimizes homesickness. Argo Camp helps with the emotional and social changes students experience during the transition from high school to the University. Prospective UWF students who attend Argo Camp arrive at UWF with several new friends before the semester begins.

### ***The Office of Family Programs***

The Office of Family Programs strives to develop relationships and provide support to families throughout their students' college experience. UWF recognizes the importance of partnering with families to promote student development and success. The office serves as a centralized resource and a liaison between the University and families with a focus on communication, events and partnerships, and provides an outlet for families to become active members of the UWF community. The goals of the Office of Family Programs are the following:

- Establish partnerships between families and the University of West Florida through increased communication
- Provide resources families need to encourage their students' development and success
- Educate families about the University of West Florida and the services and opportunities available for students

### ***Common Ground/SPLC on Campus***

Common Ground/SPLC on Campus provides opportunities for discussion and participation in ongoing dialogue on relevant social justice issues. One of the premier programs of this group is the monthly discussions on “undiscussable” topics. In addition, the group provides opportunities for the campus community to meet with student and international leaders from various countries through its partnership with the Gulf Coast Citizen Diplomacy Council. Common Ground/SPLC on Campus creates to help create safe spaces to discuss issues of difference and inclusion. This group is open to all students who are interested in promoting inclusion and diversity on campus.

### ***Student Case Management***

The Case Management Director serves as a centralized point of response and contact for students and the campus community. Case Management services is designed to respond to student issues and concerns both inside the classroom and beyond. Each student's case differs and can range from a simple email to instructors to inform them of a student's illness to interventions that are far more severe. The goal of Case Management is to help retain

the student by providing relevant guidance on various issues. Among the most critical functions of case management at UWF are identifying campus and community resources; analyzing students' concerns and recommending appropriate solutions and course (s) of action; understating and communicating concerns and determining possible outcomes. The case management director works in collaboration with various offices on campus to address student needs including academic affairs, Psychological and Counseling Services, Admissions, Housing and Residence Life, the Office of the Registrar and faculty and staff.

### ***The University Commons and Student Involvement (UCSI)***

The University Commons is the student union for UWF and is referred to as the "University Living Room" because of its relaxed atmosphere and constant level of activity. Facilities, services, and events are designed to encourage students to become engaged in campus life at UWF. The vision of UCSI is to build community on the West Florida campus by involving students in the leadership of programs and services, instilling a sense of belonging through activities and experiences, and continual improvement efforts in order to provide high quality facilities and services to the university community.

### ***International Programs***

International Programs facilitates the immigration law component of the international student's life. They provide immigration assistance to all international students, scholars, and employees. Upon arrival at UWF, every international student must contact the International Student Office. The International Student Office also facilitates the University community's connection to a broader understanding of international culture.

In addition, International Programs administers international exchange programs and study abroad opportunities for students and faculty. Exchange agreements with over 45 partner institutions throughout Europe and Asia, allow students to pay UWF tuition and receive UWF credit for course work conducted abroad.

### ***Intensive English Program***

Since 1996, the Intensive English Program has brought international students to campus to study English as a second language. The program offers full and half term options for students in fall, spring, and summer semesters.

### ***Japan Center***

The mission of the Japan Center at UWF is to foster stronger ties between the U.S. and Japan through educational, cultural, and business programs. Under this mission, the Center operates the activities of the Florida-Japan Linkage Institute, the Jikei-American Center, the UWF Japan House, and the Japan-America Society of Northwest Florida. The Center also offers credit and non-credit Japanese language instruction. The Center plays an active role in promoting both the sister-state relationship between the state of Florida and the prefecture of Wakayama in Japan as well as the sister-city relationship between the city of Pensacola and the city of Gero in Japan.

### ***Florida-Japan Linkage Institute***

The Florida-Japan Linkage Institute (FJLI) works toward strengthening mutual understanding and cooperation between the peoples of Florida and Japan through the promotion of educational, cultural, economic, and policy relations. The FJLI awards out-of-state tuition exemptions to Japanese citizens studying at Florida public universities and community colleges. The Institute is a joint program between UWF, University of South Florida, and St. Petersburg College.

### ***Confucius Institute***

The Confucius Institute (CI) at the University of West Florida (UWF) is a language program that promotes the study of Chinese language and culture. The CI at UWF plays a vital role in providing resources for learning and teaching Chinese language to students at UWF, as well as individuals within the local community. Through a partnership with Sichuan International Studies University (SISU) in Chongqing, China, UWF signed an agreement with the CI Headquarters (Hanban) in Beijing on May 20, 2013 to establish a CI on UWF campus. The CI at UWF is committed to facilitate a positive social change in the local area by offering community education and enrichment services in Chinese language and culture.

### ***Florida-China Linkage Institute***

The Florida-China Linkage Institute (FCLI) provides a broad range of services to the local community and university students, including out-of-state waivers, Conference for Chinese Studies, and trade show and industry information. The FCLI is a joint program between UWF, University of South Florida, and Brevard Community College.

### ***The Office of Equity and Diversity***

The Office of Equity and Diversity coordinates diversity programming for the University through the John C. Pace Jr. Symposium Series. In addition, there are events that address the needs of an increasingly diverse student body through a myriad of programs that promote and enhance educational programs for students, faculty, staff, and the wider community in support of a diverse and globalized environment.

### ***Military and Veterans Resource Center***

In 2011, the University opened the Military and Veterans Resources Center (MVRC) to assist military and veteran students successfully transition from the military environment to campus life. The mission of MVRC is to serve the educational and training needs of prospective and currently enrolled service members, veterans, their dependents, their survivors, and other persons eligible to receive educational benefits under the various Department of Veteran Affairs (DVA) programs. The MVRC supplements recruitment and retention efforts by providing transition assistance counseling, program and application information, and certifying eligible students to receive DVA educational benefits while maintaining productive relations with the DVA and other agencies serving veterans students.

### ***Celebrate Diversity Months and Significant Cultural Achievements***

Throughout the calendar year, diversity and cultural celebrations take place to create an environment that demonstrates not only inclusion but also awareness, acceptance, respect. For example, Black History Month is celebrated each February to acknowledge African-American achievements and contributions. UWF celebrates history and heritage with unique programs, artist, performances, speakers, special foods, and conversations. All programs are open to the public without charge, unless otherwise noted.

### ***Student Success Programs (SSP)***

The mission of SSP is to contribute to the University of West Florida by providing academic assistance and academic resources in an effort to increase retention and graduation rates while promoting student learning and enhancing the development. Programs are designed to help students achieve success and assist with any non-academic issues. Programs include advising, mentoring, and tutoring and book loan library.

### ***UWF Men's Empowerment Network (MEN)***

UWF Men's Empowerment Network is designed to provide male students with a variety of academic support services, activities, and resources. Embracing the principles of accountability, leadership, self-discipline, and intellectual development, UWF's MEN's program was developed to increase retention and graduation. The program fosters a system of support committed to the success of each participant.

### ***UWF P.E.A.R.L. (Professionally Empowered and Ready for Life)***

PEARL at the University of West Florida is a women's empowerment initiative designed to create opportunities for women to explore topics of mutual interest through programming, networking events and mentoring opportunities. The goals of the program are to create opportunities for undergraduate women to explore topics of mutual concern/interest that will prepare them for life after college; cultivate networks, bonds and relationships regardless of differences; and, create environments for conversation and personal growth and development.

### ***Executive Mentor Program***

UWF's College of Business is pleased to offer a mentor program where undergraduate and graduate students are partnered with business executives to establish connections in the business world and gain valuable insights into issues such as career choice, networking skills and career development. Business executive mentors are paired with students based on academic and career fields, common interests, and/or availability. The purpose of the Executive Mentor Program is to prepare students for successful careers in business by integrating academic learning with real-world experiences and to become a model for workforce readiness, embraced by the community. The goals and objectives of the Executive mentor relationship:

- Help identify career paths for students and support students' personal growth.

- Provide an opportunity for students to learn and practice professional networking skills.
- Equip students with the understanding and tools to make ethical and informed decisions.
- Shape students into confident graduates with excellent leadership, communication, critical thinking, professionalism and other skills important to the transition to the world of work.
- Help students identify and pursue opportunities for employment related to their degrees.

### ***Multicultural Support Services***

This program is designed to increase the recruitment, retention, and graduation rates of multicultural students through activities such as academic support services, tutorial assistance, counseling, cultural events, and support for University initiatives aimed toward diverse populations.

### ***TRiO/Student Support Services***

TRiO is a federally funded program that provides academic support for eligible students including tutoring, advising, mentoring, career planning, financial aid, cultural and social activities, and academic intervention. The Trio/SSS serves 200 low income, first generation students, and students with disabilities.

### ***The Academic Center for Excellence***

The Academic Center for Excellence (ACE) is an academic facility that provides free academic support services to all students enrolled at the University of West Florida. ACE is the only exclusive tutor lab on campus to provide tutoring in mostly all general subjects offered at UWF.

### ***Scholarship Opportunities***

In addition to the programs and support services available to students and their families, UWF provides numerous scholarship opportunities to help alleviate student financial barriers and attract and retain a diverse student body. The following are examples of scholarships available at the University:

#### ***John C. Pace, Jr. Memorial Scholarship***

This endowed scholarship was established in 1994 by the multi-million dollar gift by the last will and testament of Dr. John C. Pace, Jr. of Pensacola. The endowment supports transfer scholarships from Florida public community colleges, achievement scholarships for continuing students, graduate scholarships, and honors scholarships to new full-time freshman and Black freshman.

#### ***BG & Mrs. Michael L. Ferguson Scholarship for Sons/Daughters Military Vets***

This endowed scholarship was established in 2001 by Brigadier General and Mrs. Michael L. Ferguson. Scholarships are awarded to the son or daughter of a

deceased, active duty or retired veteran who demonstrates leadership capability and a commitment to service, with children of Army veterans receiving a priority.

***Dan McLeod Memorial Scholarship***

The Dan McLeod Memorial Scholarship is a competitively awarded scholarship that is available to undergraduate and graduate students with orthopedic disabilities who attend UWF. An orthopedic disability is defined as severe skeletal, muscular, or neuromuscular impairment.

***Theodore R. and Vivian M. Johnson Scholarship***

The Johnson Scholarship is a competitively awarded program that is available to undergraduate students with disabilities who have a financial need.

***Pensacola Women's Alliance Scholarship***

This scholarship was established in 1992 by the Pensacola Women's Alliance. The Pensacola Women's Alliance encourages the advancement of women in the community. Scholarships are awarded to female students over the age of 21 with financial need pursuing a college degree or vocational trade.

***Latin American/Caribbean Scholarship***

This scholarship was established in 2001 by the UWF Foundation, UWF, and friends of the University. Scholarships are awarded to citizen/resident of a Latin American or Caribbean country, including Puerto Rico and the U.S. Virgin Islands.

***The Lisa Wallace Giese Memorial Scholarship Endowment***

Scholarship preference is given to a female student in their junior, senior, or graduate level year majoring in Accounting and maintaining a 3.5 or higher in their major coursework.

***Helene Erickson Memorial Women's Tennis Scholarship***

This scholarship is intended for undergraduate and graduate students on the women's tennis team.

***Aimee Godwin Scholarship***

This scholarship is for students on the UWF Women's Basketball team.

***Camille Carunchio Women's Soccer Scholarship***

This scholarship is for Women's Soccer student-athletes.

***Donald Carunchio Women's Basketball Scholarship Endowment***

This scholarship is for Women's Basketball student-athletes.

***J. Terryl “T. Bubba” Bechtol Women’s Basketball Scholarship Endowment***

This scholarship is for Women’s Basketball student-athletes.

***Pensacola Runners Association Women’s Cross Country Scholarship Endowment***

This scholarship is for undergraduate or graduate students on the women’s cross-country team who meet University qualifications.

***Women’s Cross Country Scholarship Endowment***

This scholarship is for undergraduate or graduate students on the women’s cross-country team.

***W.H. “Hendy” Hilton-Green Men’s and Women’s Golf Scholarship Endowment***

This scholarship was established to honor the memory of W. H. “Hendy” Hilton Green. It is designated for eligible men’s and women’s golf student-athletes attending UWF.

***Women’s Athletics Trust Scholarship Endowment***

This scholarship is for female student-athletes and other activities related to women’s athletics.

***Argo Scholars***

These scholarships are for a select group of highly motivated Pensacola High School students who also have significant financial or other barriers to success. ARGO Scholars are mentored, participate in a variety of cultural experiences, and receive scholarship support for tuition, books and room/board while at UWF.

***Lisa Jo Dickson Memorial Scholarship Endowment***

Scholarship awards are made to an upper division initiated female of a UWF Panhellenic sorority who has proven leadership roles in and commitment to the mission of Panhellenic Greek life and her sorority. The recipient must have a 2.8 GPA and record of volunteerism/community service. Students may receive the award a maximum of two times.

***W.J. (“Jerry”) Douglas Annual Scholarship***

This scholarship is awarded to a student meeting UWF’s enrollment requirements and may include the amount of tuition and matriculation fees, excluding summer term. First preference is given to student(s) returning to or beginning school during and/or after military service. Second preference is given to the dependent of a person who was a student during and/or after military service.

***Dr. Grace Po-Yuen Chiu Scholarship***

This scholarship is awarded to students majoring full time in international chemistry entering their junior or senior year with financial need.

***Maria Flewellen Mikel Memorial Scholarship Endowment***

Preference for this scholarship is given to an upper division or transfer female student pursuing a degree in Business or Finance and maintaining a 2.7 GPA. The amount varies.

***Stan and Mary Stephenson Engineering Scholarship***

This scholarship is for full-time students majoring in electrical engineering who have a cumulative GPA of 3.0 on a 4.0 scale. Preference is given to electrical engineering students with dependents who indicate a desire to teach engineering and/or first generation college students in engineering.

***Frank and Alice Adams Scholarship Fund***

This scholarship is for a Florida resident freshman with a documented specific learning disability and a cumulative high school GPA of 2.5 on a 4.0 scale. It is renewable through the senior year based on cumulative GPA requirements. The maximum award is equal to tuition/matriculation fees for two academic terms.

***Max Conner Scholarship Endowment***

This scholarship is for UWF need-based students. Preference will be given to first generation students (defined as those students whose parents do not possess a baccalaureate degree).

***First Generation Scholarships***

These scholarships are for UWF need-based students enrolled full-time or part-time (minimum of 6 credit hours required) in a degree seeking program. Students must be residents of Florida, have parents that have not earned a bachelor's degree or raised by a single parent who did not earn an undergraduate degree.

***The Kerrigan Daughters' Young Women's Scholarship***

This scholarship is for need-based female students under the age of 30 (for the first award) with dependent children that meet enrollment requirements. Preference is given for those with primary custody of children under the age of 10. First-time students from community college or high school are eligible regardless of GPA. The award covers tuition, books, lab fees, and matriculation fees plus up to \$250 for miscellaneous expenses per semester. Recipients are eligible for a maximum of 10 semesters if requirements are met.

***The Society of American Military Engineers, Pensacola Post Scholarship***

These scholarships are for students residing in Escambia and Santa Rosa counties who are enrolled in Electrical Engineering Technology or pre-engineering programs and have financial need. Preference is given to veterans or active duty military personnel.

***Solutia Pre-Engineering Scholarship***

This pre-professional (pre-engineering) scholarship is for minority and/or female students with above average grades and with financial need.

***Drs. Muhammad and Fatema Rashid Female Engineer Scholarship***

Scholarship for female UWF student(s) meeting enrollment requirements, majoring in Electrical or Computer Engineering and have a minimum GPA of 2.7.

***Future Women Engineers Scholarship***

This scholarship is for a full time female student in Electrical/Computer Engineering with a cumulative GPA of 3.0 or higher.

***Dr. Cheryl L. Thomas Memorial Scholarship***

These scholarships are for need-based students that meet UWF enrollment requirements. Preference is given to upper division female students with GPA of 2.5 or above. The maximum amount of awards is equal to tuition and matriculation fees.

***Bruce R. Dunn Single-Mother Scholarship Fund***

These scholarships are for single parents with dependent children (one or more living with the parent) who are full time students pursuing a graduate degree in Psychology. A cumulative GPA of 3.5 on a 4.0 scale is required along with a minimum of 9 coursework hours remaining in their program and financial need. Awards of \$500 to \$1,250 per semester for tuition and matriculation fees (excluding summer) are available.

***Jeffrey Scott Henshall Scholarship***

This scholarship awards a student with a disability or a student whose focus is disability related.

***Linda O. Dye Award***

This annual leadership award of \$500 is made to a female student for significant contributions, sustained leadership, and service to campus life at UWF. Considerations are time, energy, creativity, and work to enhance activities, intercollegiate athletics, and the development and maintenance of traditions.

## University of West Florida's Strategies for Achieving Employment Diversity Goals:

- Utilizing an online recruitment and hiring process increases the visibility of openings at UWF to applicants for employment both internally and externally.
- Hiring managers are required to advertise job openings in discipline-specific journals and those frequented by females and minorities.
- Job application deadlines are extended and hiring officials are required to advertise in diverse publications when searches have not resulted in a culturally and gender diverse applicant pool.
- Additional outreach initiatives are utilized such as job fairs targeted to females, minorities, individuals with disabilities, and veterans.
- Bias in the employment process is controlled by requiring that search committees represent gender and racial diversity.
- The John C. Pace Symposium series is designed to bring distinguished scholars, artists and leaders to Pensacola for lectures, performances and a variety of interactions with faculty, students, staff and the public.
- Access, equal opportunity, and diversity are included in the University's strategic planning process.
- The President's Award for Leadership in Diversity is provided annually to recognize demonstrated leadership and/or evidence of participation in multiculturalism and diversity and the engagement in dissemination of information and implementation of events or activities to enhance cross-cultural understanding.

UWF will continue multicultural/diversity training opportunities. Funding is available for full-time faculty and staff to travel to obtain training on multiculturalism/diversity issues. Applicants demonstrate how the training will benefit the diversity of the campus community and how attendance will contribute to the applicant's discipline, and how learning may be incorporated into diversity initiatives in the individual's department. Attendees share their knowledge by presenting what they have learned to the campus community.

UWF will continue its commitment to advertising career opportunities in female and minority publications; providing the annual President's Diversity Leadership Awards to faculty, staff, and students; making professional development leave available to faculty; and making tuition fee waivers and textbook scholarships available to faculty and staff. These strategies will ensure that the University remains visible to female and minority applicants, maintains budgetary incentive plans to recruit a diverse workforce, and provides educational scholarship assistance to further the University's goal of a culturally diverse campus.

**PART VII: PROTECTED-CLASS REPRESENTATION IN THE TENURE PROCESS, 2016-2017**

<b>Sex, Race/Ethnicity</b>	<b>Applied</b>	<b>Withdrawn</b>	<b>Denied</b>	<b>Deferred</b>	<b>Nominated</b>
<b>MALES</b>					
American Indian or Alaskan Native					
Asian					
Black or African American					
Hispanic					
Native Hawaiian/Other Pacific					
Two or More Races					
White	4				4
Other, Not Reported	1				1
<b>Total Male (Include Other, Not Reported)</b>	<b>5</b>				<b>5</b>
<b>FEMALES</b>					
American Indian or Alaskan Native					
Asian	3				3
Black or African American					
Hispanic					
Native Hawaiian/Other Pacific					
Two or More Races					
White	5				5
Other, Not Reported					
<b>Total Female (Number and Percent) (Include Other, Not Reported)</b>	<b>8</b>				<b>8</b>
<b>GRAND TOTAL</b>					
<b>LEGEND:</b>					
<b>APPLIED:</b> Faculty whose names have been submitted for tenure review. Sum of Withdrawn, Denied, and Nominated (or provide explanation).					
<b>WITHDRAWN:</b> Faculty who withdrew from tenure consideration after applying for review.					
<b>DENIED:</b> Faculty for whom tenure was denied during the review process.					
<b>NOMINATED:</b> Faculty for whom tenure is being recommended by the University					

**PART VIII: PROMOTION AND TENURE COMMITTEE COMPOSITION, AY 2016-2017**

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
University Faculty Personnel Committee													8	6			8	6
College Personnel Committee – College of Arts, Social Sciences and Humanities													4	1			4	1
College Personnel Committee - College of Business													6	1			6	1
College Personnel Committee - College of Education and Professional Studies					1								3	3			4	3
College Personnel Committee – Hal Marcus College of Science, Engineering and					1	1							3				4	1
College Personnel Committee – Usha Kundu, MD College of Health													5	5			5	5

## **PART IX: OTHER REQUIREMENTS**

### **A. Budget Plan**

UWF requires hiring managers to advertise in diverse publications. These publications included: *Diverse Issues in Higher Education*, *IMDiversity.com*, *Hispanic Outlook*, *Minorityjobs*, *Society of Women Engineers*, *Urban & Regional Information Systems Association*, *Academic Diversity Search*, *Diversity.com*, *Insight Into Diversity*, and *Women in Higher Education*.

The University has been successful in increasing exposure of its position openings to females and minorities in the hiring market, and this will continue to be a priority.

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

Each year, the Board of Trustees evaluates the University President. The evaluation includes reviewing equity goals and objectives. The President ensures that diversity and equity goals are a priority at the University.

### **C. Top Administrators' Evaluations**

The University President continually evaluates the activities of the vice presidents to ensure that diversity remains a priority at the University. The University of West Florida's commitment to diversity is campus wide. All University employees are evaluated annually on diversity regarding their support of equal opportunity and the University's goals of displaying empathy and acceptance of diverse viewpoints; treating others with respect, dignity, and consideration; promoting an environment free of harassment and discrimination; building a diverse workforce; including diversity in committees so that expectations of all are considered; making efforts to ensure that all employees feel included; and assuring that campus diversity is reflected in the membership of search committees.



UNIVERSITY *of*  
WEST FLORIDA

# 2018 Florida Equity Report

*Karen Rentz, Executive Director  
Office of Equity and Diversity*

# Overview

- Florida Equity Report is submitted annually to the BOG, as required by Regulation 2.003 Equity and Access.
- The 2018 Florida Education Equity Report is based on 2016-2017 data.
- The Student Enrollment and Employment sections focus on females and members of specified racial/ethnic groups.
- The Athletics section focuses on gender equity on the basis of Accommodation of Interests and Abilities.

# Questions?

**UWF Board of Trustees Meeting**  
Audit & Compliance Committee  
August 13, 2018

**Issue:** Internal Auditing - Update on Activities  
**Proposed action:** Informational

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To provide the Committee with an overview of activities within Internal Auditing & Management Consulting.

1. Status of audits in process
2. Status of advisory/consulting activities
3. Miscellaneous items

**Recommendation:** Information only  
**Implementation:** None  
**Fiscal Implications:** Fiscal oversight by the UWF Board of Trustees

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**Prepared by:** Cindy Talbert, Interim Internal Audit Director, 474-2638, ctalbert@uwf.edu  
**Presenter:** Cindy Talbert



U.S. Small Business  
Administration

Office of Small Business Development Centers | 409 3<sup>rd</sup> Street SW |  
Washington, DC 20416

May 7, 2018

Mike Myhre  
Florida Small Business Development Center  
University of West Florida  
220 West Garden Street, Suite 301  
Pensacola, Florida 32502-5617

RE: Biennial Financial Examination

Dear Mr. Myhre:

Enclosed is the financial examination report of the Florida SBDC Network for the Program Year 2016.

We appreciate the high level of cooperation you demonstrated throughout the examination process.

If you have any questions regarding the final report, please contact Nicholas Walker, Financial Examiner at [Nicholas.walker@sba.gov](mailto:Nicholas.walker@sba.gov) or at (202) 205-6637.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Adriana Menchaca-Gendron'.

Adriana Menchaca-Gendron  
Associate Administrator  
for Small Business Development Centers

Enclosure

Cc: Ashley Bell, Regional Administrator  
Leon "Lonnie" Koyama, SBA Project Officer  
Jonel Hein, SBA District Director  
Edna Greene, SBA Program Manager  
ASBDC Accreditation Program Manager, Burke, VA  
Nick Walker, Financial Examiner, Washington, DC

# Small Business Administration

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Office of Entrepreneurial Development  
409 Third St, SW 6<sup>th</sup> Floor  
Washington DC 20416

## Financial Examination of the Florida Small Business Development Center

*Program Year 2016*



U.S. Small Business  
Administration

Date: 5/4/2018

Cooperative Agreement: SBAHQ-16-B-0047

## **Executive Summary:**

A Program Year 2016 financial examination was conducted of the Florida Small Business Development Center (FL-SBDC) network, including the lead center in Pensacola, and the Small Business Development Centers at Fort Myers, Jacksonville, and Tallahassee. The overall objectives of the Small Business Administration (SBA) financial examination process are to determine whether the FL-SBDC network has controls in place to ensure: (1) the accuracy of the reported financial and management data; (2) whether costs incurred and claimed for reimbursement were reasonable, allowable, and allocable; (3) compliance with program policies, operating procedures, applicable laws and regulations. The scope of the financial examination focused on the adequacy of the FL-SBDC network management to ensure compliance with policies, laws, and regulations of the SBDC Program. This was accomplished by reviewing FL-SBDC's compliance with the Reporting, Time and Effort, Cash Disbursements, Indirect Cost, and Program Income requirements of the SBDC Program.

FL-SBDC reported Federal expenditures of \$6,586,681.00 for the network, which was matched with \$6,514,967.60 in cash match, \$0.00 of In-Kind Contribution, and \$2,001,753.42 of waived Indirect Costs.

**Findings:** There is one finding to report

**Finding 1:** The amount of waived indirect claimed as match, \$2,001,753.42 exceeded the amount of non-Federal funds authorized for indirect cost on the Notice of Award, \$1,917,178.00. \$84,575.42 is disallowed as an expense of non-Federal Funds.

## **I. EXAMINATION PURPOSE**

The overall objective of the SBA financial examination process is to determine whether the SBDC network has controls in place to ensure: (1) the accuracy of the reported financial and management data; (2) whether costs incurred and claimed for reimbursement were reasonable, allowable, and allocable; (3) compliance with program policies, operating procedures, applicable laws and regulations.

Pursuant to 15 USC 648 § 21(k) (1) of the Small Business Act (the Act) and the Code of Federal Regulations (CFR) 13, Part 130 which require the Office of Small Business Development Centers (OSBDC) to perform a financial and programmatic examination of each SBDC network every two years.

This examination covered the SBDC operations for Program Year 2016. Our examination focused on the financial activities of the FL-SBDC. The Centers included in our review were as follows:

- Florida SBDC Lead Center, Pensacola, FL
- Florida Gulf Coast University SBDC, Fort Myers, FL
- University of North Florida SBDC, Jacksonville, FL
- Florida A&M University SBDC, Tallahassee, FL

The findings and opinions noted in this report pertain solely to the centers and samples selected. This examination does not substitute for audits required of Federal grantees under the Single Audit Act of 1984 or Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Named users of this report are the SBA, America's Small Business Development Centers (ASBDC) Accreditation Committee, the University of West Florida, and the FL-SBDC network. This report is not intended as a basis for reliance or action by any other users.

## **II. CORRECTIVE ACTIONS RESULTING FROM PREVIOUS EXAMINATION**

The last examination had no findings.

### III. RESULTS OF CURRENT EXAMINATION

#### **Reporting**

The examination covered a review of required financial reports, including Federal Financial Report SF-425 and Program Income Report SBA Form 2113.

No Finding - The required financial reports have been submitted on time, and all information in the reports was complete and accurate.

#### **Service Center Monitoring**

The examination included a review of service center financial monitoring reports which covered periodic reviews by the lead center for the selected service centers.

No Finding - The reports were comprehensive and covered all relevant financial areas. The lead center has sufficient expertise, staffing, and procedures in place to oversee all financial activities of the FL-SBDC network.

#### **Time & Effort**

The examination included a review of time and effort for employees at the lead center and selected service centers. The review included samples of timesheets and certifications for employees working on the SBDC program.

No Finding - Time and effort for employees of the FL-SBDC network appeared to be reported, tracked, and certified correctly.

#### **Cash Disbursements (Federal and Matching)**

The examination included a review of transaction activity from the lead center and selected service centers' general ledger accounts. Invoices and support documentation, together with sample expenditures for personnel salaries and direct operating costs were used.

The Federal Financial Report, SF-425, was supported by a crosswalk spreadsheet maintained by the lead center. The lead center reported Federal expenditures of \$6,586,681.00 for the network, which was matched with \$6,514,967.60 in cash match.

No Finding – Ledgers have properly supported all requests for reimbursement, submitted by the service centers to the lead center. The examination included a test of 55 transactions.

- 21 transactions at the Lead Center
- 10 transactions at Florida Gulf Coast University SBDC, Fort Myers, FL
- 12 transactions at University of North Florida SBDC, Jacksonville, FL
- 12 transactions at Florida A&M University SBDC, Tallahassee, FL

### **Indirect Costs**

The examiner reviewed all Indirect Cost agreements for the FL-SBDC network. The FL-SBDC network Federal Financial Report, SF-425, reported a total of \$2,987,809.46 for Indirect Costs. A detailed breakout of Indirect Cost shows the amount reimbursed by Federal funds for the period totaled \$986,056.04.00 with \$2,001,753.42 reported as waived indirect non-cash matching costs.

Finding 1: The amount of waived indirect claimed as match, \$2,001,753.42 exceeded the amount of non-Federal funds authorized for indirect cost on the Notice of Award, \$1,917,178.00. \$84,575.42 is disallowed as an expense of non-Federal Funds.

Recommendation 1: FL-SBDC submits a revised SF-425 with the adjustments indicated on page 7.

Recommendation 2: FL-SBDC review the Notice of Award and implement polices to ensure they remain within the authorized amount for waived indirect costs.

### **In-Kind Match**

The examination included a review of in-kind matching funds. The FL-SBDC network reported \$0.00 of In-Kind Match contributions for the period January 1, 2016 - December 31, 2016.

No Finding – No in-kind donations were claimed as match.

### **Program Income**

The examination included a review of program income activity for the network. SBA form 2113 (Program Income Report) and program income

ledgers were reviewed. The examiner also tested the ending program income balance to ensure that it is within the acceptable limit.

The lead center reported the following for network program income for the period from January 1, 2016 to December 31, 2016.

Network opening balance	\$ 1,123,674.06
Revenue	\$ 593,942.64
Expenses	\$ 691,342.32
Closing balance	\$ 1,026,274.38

A review of the Program Income ending balance shows that the FL-SBDC is within the 25% policy that requires SBDCs to expend any Program Income exceeding 25% of their total budget. This was tested by the examiner and determined to be within the limits as established in the Program Announcement and the Notice of Award and therefore the FL-SBDC is in compliance with this requirement.

No Finding - Program Income activity from the network was reported on SBA Form 2113 and further supported by the lead center's internal schedule or spreadsheet of network Program Income. The examination included a review of selected transactions with no discrepancies.

Florida Small Business Development Center  
SBAHQ-16-B-0047

**RESULTS OF CURRENT EXAMINATION**

Results of our examination of costs claimed on the Federal Financial Report (SF-425) for the  
Period 1/1/2016 thru 12/31/2016

Item Number	Item Description	Claimed	Examiner Adjustment	Adjusted Amount	Ref Page
<b>Federal Cash:</b>					
10a	Cash Receipts	\$3,187,521.26	\$0.00	\$3,187,521.26	
10b	Cash Disbursements	\$6,586,681.00	\$0.00	\$6,586,681.00	
10c	Cash on Hand (a minus b)	(\$3,399,159.74)	\$0.00	(\$3,399,159.74)	
<b>Federal Expenditures and Unobligated Balance:</b>					
10d	Total Federal Funds Authorized	\$6,586,681.00	\$0.00	\$6,586,681.00	
10e	Federal Share of Expenditures	\$6,586,681.00	\$0.00	\$6,586,681.00	
10f	Federal Share of Unliquidated Obligations	\$0.00	\$0.00	\$0.00	
10g	Total Federal Share (sum of lines e and f)	\$6,586,681.00	\$0.00	\$6,586,681.00	
10h	Unobligated Balance of Federal Funds (line d minus g)	\$0.00	\$0.00	\$0.00	
<b>Recipient Share:</b>					
10i	Total Recipient Share Required	\$6,586,681.00	\$0.00	\$6,586,681.00	
10j	Recipient Share of Expenditures	\$8,516,721.02	\$84,575.42	\$8,432,145.60	Pg. 6
10k	Remaining Recipient Share to be Provided ( line i minus j)	(\$1,930,040.02)	(\$84,575.42)	(\$1,845,464.60)	
<b>Program Income:</b>					
10l	Total Federal Program Income Earned	\$0.00	\$0.00	\$0.00	
10m	Program Income Expended in Accordance with the Deduction Alternative	\$0.00	\$0.00	\$0.00	
10n	Program Income Expended in Accordance with the Addition Alternative	\$0.00	\$0.00	\$0.00	
10o	Unexpended Program Income (line l minus line m or line n)	\$0.00	\$0.00	\$0.00	

## **SUMMARY OF RESULTS**

Based on the limited testing of the data available from the lead center and the selected service centers, it was determined that the FL-SBDC network:

1. Is in compliance with Reporting requirements;
2. Is in compliance with monitoring of the financial activities of its service centers;
3. Is in compliance with time & effort reporting;
4. Is in compliance with monitoring of its cash disbursement requirements;
5. Is in compliance with indirect cost requirements, with the exception noted on page 6.
6. Is in compliance with in-kind match requirements;
7. Is in compliance with program income requirements.

**UWF Board of Trustees Meeting**  
Audit & Compliance Committee  
August 13, 2018

**Issue:** Compliance & Ethics - Update on Activities  
**Proposed action:** Informational

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To provide the Committee with an overview of activities within Compliance & Ethics.

1. Status of establishing an independent Compliance and Ethics function
2. Status of 2018 Risk Assessment Exercise
3. Status of Compliance Partner Initiative/ Compliance Gap Analysis
4. Status of GDPR Compliance
5. Status of PCI DSS program

**Recommendation:** Information only  
**Implementation:** None  
**Fiscal Implications:** Fiscal oversight by the UWF Board of Trustees

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**Prepared by:** Matt Packard, Chief Compliance Officer, 857-6070, mpackard@uwf.edu  
**Presenter:** Matt Packard