### UNIVERSITY OF SOUTH FLORIDA

#### GOVERNANCE POLICY

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7/6/17 (Technical)
Governance Policy for the USF System

The University of South Florida (USF) Board of Trustees is committed to building, strengthening and sustaining a premier university system that adds value regionally, state-wide, nationally, and globally through enhancing access to higher education; advancing research which benefits society; contributing to regional unification; leveraging distinctive regional advantages; promoting partnership opportunities; assuring academic program quality; providing consistently high quality support programs and services; strengthening institutional control, legal compliance and ethics, and risk management; and maximizing the economies of scale. The USF System embraces a unified vision of cooperative excellence with institutions, regional campuses and direct support organizations (DSOs) developing distinct and complementary missions that are consistent with the overall USF mission. The USF System deeply values existing collegial groups, including Faculty Senates, Student Governments, and other governance groups that constructively contribute to the USF System strategic plan. The USF System is committed to working collaboratively with such groups to identify, develop and refine best practices on matters of shared interest. All USF institutions, regional campuses, DSOs and their employees benefit from a focused collegial enterprise and share accountability to the USF Board of Trustees, the Florida Board of Governors, the public and the students we serve.

1. The USF System is comprised of three separately accredited institutions: USF, USF St. Petersburg, and USF Sarasota-Manatee. USF consists of the main research campus in Tampa, which includes its College of Marine Science in St. Petersburg, and USF Health. The USF Board of Trustees is the public body corporate created by Article IX, Section 7 of the Constitution of the State of Florida and empowered (Florida Board of Governors Regulation 1.001) to administer the USF System. The USF Board of Trustees is responsible for cost-effective policy decisions appropriate to the System mission and the implementation and maintenance of high quality education programs within the laws, regulations and rules of the State. The USF Board of
Trustees’ charge is broad, including approval of System and institutional rules and regulations, establishing specific degree programs, fiscal oversight, monitoring of DSOs and strategic planning. The USF Board of Trustees appoints and evaluates the performance of the System President, who is authorized to implement policies, recommend regulations to the USF Board of Trustees, and is responsible for the operation of the USF System.

2. The USF System operates within the USF Board of Trustees governance structure. The Regional Chancellors of USF St. Petersburg and USF Sarasota-Manatee are appointed by and report directly to the System President who also serves as the President of the University of South Florida. Campus Boards are appointed by the USF Board of Trustees for USF St. Petersburg and USF Sarasota-Manatee. University of South Florida Board of Trustees operating procedures and Sections 1004.33, 1004.34, and 1004.345 F.S. articulate the powers and duties of the Campus Boards.

3. The President is the Chief Executive Officer of the USF System and of the University of South Florida. The Provost and Executive Vice President, all Senior Vice Presidents, the Vice President for Communications, the Associate Vice President for System Initiatives, and the Regional Chancellors report directly to the System President. The System President delegates System-wide authority to the Provost and Executive Vice President, Senior Vice Presidents and Vice Presidents as appropriate. System Advisory Councils consisting of representatives from all USF institutions advise the System President and other System Officers. These include the Academics and Campus Environment Advisory Council, the Finance and Audit Advisory Council, and the Research, Innovation, Engagement & Job Creation Advisory Council. The USF System Faculty Council is chaired by a faculty governance leader and facilitates communication on System-wide faculty and academic issues. Each Advisory Council’s role and responsibilities, scope of activities, membership and operating procedures are established and approved by the System President. Each Advisory Council will post members, meeting dates, agendas, and summary notes on its website.

4. As part of the USF System, direct support organizations (DSOs) are separately incorporated by statute (Section 1004.28 F.S.), and operate exclusively for the benefit of USF consistent with
the USF System strategic plan approved by the Board of Trustees. The Board of Trustees is the ultimate governing entity authorized to establish and decertify DSOs and annually reviews and approves DSO budgets, audits and financial reports.

5. The USF System was formed to bring its member institutions together, so that collectively and collaboratively they could serve the region and beyond in optimal ways, resulting in a stronger presence and a distinctiveness that provides an unstoppable competitive differentiation. In addition to having a strong and unified voice for higher education, the USF System seeks to find and capitalize on synergies and economies of scale among its institutions that are of benefit to students, faculty, staff, alumni, and communities.

6. The USF System will develop, approve, promote and hold all institutions and DSOs accountable to a single, unified and transparent legislative agenda consistent with the strategic priorities approved by the USF Board of Trustees. All interaction with state, regional, national and international governing bodies will be conducted by the USF Board of Trustees, the System President, and their designees.

7. In order to achieve the desired synergies and economies of scale and ensure effective operations at all USF institutions, the USF System has defined a set of System-wide services. These are described in Attachment A, *USF System-wide Services Paradigm*.

8. In order to improve student retention and graduation rates, the USF System will manage access, transfer, and success through a unified student information system and clearly articulated admission, retention and graduation requirements, with formal System-level articulation agreements, where appropriate, to ensure coordination of enrollment planning and management.

9. The Dean of the Graduate School and Associate Vice President for Research and Innovation will coordinate graduate policies and programs for all USF institutions and campuses. As established by the Florida Board of Governors, USF (which includes the main campus in Tampa, its College of Marine Science and USF Health), is the only doctoral degree granting institution within the USF System. USF institutions and campuses may deliver “hosted” programs
collaboratively within the System as well as with other research institutions when deemed appropriate.

10. USF System institutions will articulate differentiated, yet complementary, missions through the development of strategic plans, compact plans, and work plans. These plans will be consistent with the USF System strategic plan and will be approved by the Board of Trustees. Enrollment profiles may reflect these differentiated missions. Each will have its own Integrated Postsecondary Education Data Systems (IPEDS) number and report separately to the National Center for Education Statistics. The System-wide reporting is coordinated through the Office of Decision Support. Each institution will participate as a separate reporting entity in the Voluntary System of Accountability. Each institution is classified separately by the Carnegie Foundation for the Advancement of Teaching.

11. As legislatively mandated, each regional campus will maintain SACS accreditation. The Office of the System Provost and Executive Vice President will facilitate fully informed choices by faculty in the event of a change of accreditation status for any USF institution. Faculty may be granted courtesy appointments in a program/department/college on a campus different from the faculty member’s primary place of employment. Upon separate accreditation of all campuses, the USF System established consistent terminology for persons in like positions who are accorded like authority, and fulfill like responsibilities.

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USF Board of Trustees, Adopted: May 31, 2007
Revised: July 1, 2008; February 17, 2011; June 8, 2011 (Attachment A added), September 15, 2016 (technical)
Attachment A:

USF System-wide Services Paradigm

The USF System is designed to provide high-quality academic programs and services serving students across the Tampa Bay region and beyond. The USF System Strategic Plan 2010-2015, approved by the USF Board of Trustees, states: “The USF System was formed to bring four institutions together, so that collectively and collaboratively they could serve the region and beyond in optimal ways, resulting in a stronger presence and distinctiveness that provides an unstoppable competitive differentiation. In addition to having a strong and unified voice for higher education, the USF System seeks to find and capitalize on synergies and economies of scales among its institutions that are of benefit to students, faculty, staff, alumni, and communities.”

A critical element of creating the synergies and economies is defining and describing the USF System-wide services. The definition of USF System-wide services recognizes that the USF System consists of three separately accredited institutions, each of which met the standards of the Commission on Colleges of the Southern Association of Colleges and Schools. In addition, each of these institutions and the USF System as a whole must adhere to the policies and procedures of the Florida Board of Governors (BOG), the State University System (SUS), and the USF Board of Trustees (BOT), as well as with state and federal statutes and regulations.

Within the USF System there are two Campus Boards with statutory fiduciary roles, a System Leadership Council, three System Advisory Councils, and a USF System Faculty Council. The System Leadership Council consists of the USF System President; the USF System Provost and Executive Vice President; the USF System Senior Vice President for Research, Innovation and Global Affairs; the USF System Senior Vice President and Chief Operating Officer; the USF System Senior Vice President for Advancement; the USF System Senior Vice President for USF Health; and the Regional Chancellors of USF Sarasota-Manatee and USF St Petersburg.
Consistent with the best practices of systems, the USF System provides delegated authority to its institutions consistent with their current capacities and what is in the best interests of the students. The USF System will periodically review those types and levels of delegated authority. Such delegations continually strive for a balance that will accommodate local needs while controlling those risks that could negatively impact not only an individual institution or entity\(^1\), but also the USF System as a whole and likewise all its members. When USF System policies, delegations, and practices are periodically reviewed for changes, such reviews will involve participation of, and consultation with, the USF System institutions and, where appropriate, entities. All delegations will be made in the context of the USF System’s role as a single point of contact for BOG/SUS reporting purposes.

While this document provides definitions and descriptions of USF System-wide services, no single document can cover every eventuality. Also, over time, there may well need to be modifications to the document to reflect changed circumstances. At the end of the day, therefore, this document will need to be accompanied by a compelling and collective spirit of genuine collaboration, enhanced by constant communication and a deep commitment to mutual respect and understanding of respective roles and responsibilities.

In an environment of seriously constrained resources, the USF System has determined that it must add value by increasing both the efficiency and effectiveness of services, including the optimization of shared services. The following sections provide a description, by service area, of the paradigm for shared services in the USF System. This paradigm has been developed through a collaboration between the USF System leadership and the institutional leadership.

The System-wide services designated for the USF System and its institutions/entities include: (1) strategic leadership; (2) legal and risk management; (3) policy and procedural definition and interpretation; (4) performance, compliance, and fiduciary reporting and; (5) provision of a secure, resilient technology infrastructure and data network. The following sections describe the responsibilities of the offices designated to provide USF System-wide services as well as those

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\(^1\) The term “entity” is used to encompass Direct Support Organizations (DSO) and auxiliary enterprises. Appendix A contains a list of DSOs. A list of auxiliary enterprises is a database maintained in the Controller’s Office.
of the institutions/entities. In all its activities and services, the USF System will always operate in the best interest of the students enrolled in its member institutions.

I. Executive Services: The USF System President is responsible for leadership and promotion of the USF System, its institutions and entities as authorized by the BOT, including representing the USF System to external constituents and legislators at the federal, state, and regional levels. The USF System President also serves as the Corporate Secretary of the BOT.

Each Regional Chancellor and USF System Vice President is responsible for: carrying out the mission, vision and goals articulated in the USF System Strategic Plan and institutional Strategic Plans and understands that his/her performance evaluation is, in significant measure, tied to his/her commitment and service to the appropriate plans.

Chief of Staff/Assistant Corporate Secretary: Manages and directs the day-to-day operations, personnel and budgets of the Offices of the President and BOT. Directs BOT operations and provides operational support for the Board. Serves as liaison to Trustees, administrators, faculty and students. Provides coordination and organizes involvement of the President and/or BOT members at events and organizes USF System-wide events at the request of the President.

Each institution/entity is responsible for: providing the Chief of Staff information regarding issues that may require the immediate attention of the President; communicating Board-related issues to the Chief of Staff in accord with appropriate USF System policies and procedures; ensuring the institution/entity holding the event coordinates event organization with the President’s Office; supporting USF System events. Board member attendance is coordinated with the Assistant Corporate Secretary prior to issuing such invitations.

General Counsel: Provides legal advice, representation, and counsel to the USF System, including its component institutions and entities, and the BOT.
Each institution/entity is responsible for: bringing to the USF System General Counsel’s attention all legal issues that arise; acting in accord with legal advice.

**USF System Initiatives:** The Associate Vice President for USF System Initiatives serves as a liaison between the Regional Chancellors and USF System officers to ensure that issues are resolved; initiatives having USF System implications are implemented and transparently communicated across the USF System; and that processes for resolution of USF System issues by appropriate individuals and USF System-wide Councils are developed. Responsible for monitoring and reporting on the implementation of the USF System Strategic Plan. Ensures that USF System approved policies and procedures are accessible and understood System-wide. Oversees the contents and appearance of the USF System web pages. Collaborates with Regional Chancellors and USF System officers to promote and communicate the strategic value of the USF System.

Each institution/entity is responsible for: identifying issues of concern and working to resolve them in a collegial manner; respecting, advancing, and working within the USF System Strategic Plan.

**Diversity, Inclusion & Equal Opportunity:** Responsible for state and federal diversity reporting and, in consultation with USF System institutions, developing appropriate policies and procedures and ensuring compliance.

Each institution/entity is responsible for: complying with policies and procedures; providing training in compliance; enabling equal opportunity; enhancing diversity.

**Intercollegiate Athletics:** The Athletic Director leads the National Collegiate Athletic Association (NCAA) intercollegiate athletic program for all USF System students in their role as participants or spectators. Athletic event access policies are the same for all USF System students, faculty and staff, regardless of institution.
Each institution/entity is responsible for: encouraging students/faculty/staff to attend USF System intercollegiate athletic events and activities; providing opportunities for students to participate in recreation/intramural sports activities within available resources and facilities; setting student athletic fees through an athletic fee committee; working with the Athletic Director when opportunities for expansion of intercollegiate athletic programs arise.

Communications and Marketing: The Vice President for University Communications and Marketing will provide leadership for the development of policies for the USF System that establish guidelines for communications and marketing of the USF System and its member institutions, including mass communication and emergency communications; maintains the visual identity and graphic standards manual; and oversees USF System-wide publications.

Each institution/entity is responsible for: adhering to the USF System policies in its respective communications and marketing strategies; providing its own logos for inclusion in the visual identity and graphic standards manual; contributing to USF System-wide publications. Collaboration in communications and marketing for purposes of strengthening the USF System is encouraged when deemed appropriate by all parties.

Government Relations: In consultation with USF System institutions/entities, develops guidelines for positioning the USF System and its institutions with legislative bodies and agencies. Provides coordination for relations with local, state and federal legislative bodies and agencies.

Each institution/entity is responsible for: ensuring that the USF System and its institutions/entities has a single voice with governmental bodies/offices; being supportive of the agreed upon priorities and approaches.

II. Office of the USF System Provost and Executive Vice President (EVP): Responsible for academic quality assurance across the USF System and, in consultation with USF System institutions, ensures compliance with USF System academic and student affairs policies. Coordinates development of strategic plans, enrollment plans, work plans, capital
improvement plans, tuition and fee requests, legislative budget requests and related reporting to the BOG, the SUS, the BOT, state and federal agencies, and national/regional associations. The USF System Provost and EVP delegates System responsibilities to senior staff members for student affairs, program review and development, strategic planning, and collective bargaining (on behalf of the BOT) with the United Faculty of Florida and the Graduate Assistant Union. Works in collaboration with the USF System Faculty Council (SFC) and the USF System Academics and Campus Environment Advisory Council (ACEAC), the BOT/Academic and Campus Environment (ACE) Committee and the BOT. Coordinates, reviews, and approves on behalf of the BOT domestic and international academic program inter-institutional agreements involving the USF System and its institutions. Administers Distinguished University Professor and Honorary Degree programs.

Each institution is responsible for: developing, delivering, reviewing, and assessing the quality of academic programs, consistent with USF System policies and approved institutional budget and enrollment management plans; proposing new academic degree programs; hiring, promoting, reviewing and evaluating faculty, in accord with USF System policies.

Graduate School: The Dean of the Graduate School coordinates policies and procedures for graduate education and postdoctoral affairs across the USF System. Generates required reports to the SUS and other agencies. Upon recommendation from USF System institutions, the Office of the USF System Provost and EVP coordinates graduate program planning, review, approval and termination processes. Provides for the development and maintenance of the USF System graduate course information system. The USF System Provost and EVP is responsible for quality assurance in graduate education and postdoctoral affairs across the USF System.

Each institution is responsible for: providing quality controls and for implementing and monitoring its own graduate admissions, registration, and degree certification processes, in accord with USF System policies and procedures.
**Decision Support**: Serves as the official USF System data source/repository and academic management information resource for the USF System (with the exception of those financial and human resource/payroll USF System data source/repository items that fall within the responsibility of the Chief Operating Officer). Provides USF System institutions with timely access to data feeds for management review and decision making. Responsible for collecting, consolidating, analyzing and reporting data on students, faculty, staff and academic programs for the USF System, BOT, BOG, and state and federal agencies including, but not limited to, the Florida Office of Program Policy Analysis and Government Accountability (OPPAGA), the US Department of Education (IPEDS), and the Carnegie Foundation for the Advancement of Teaching.

*Each institution/entity is responsible for: collaborating with the USF System Office of Decision Support in timely and accurate submission and reporting of institutional data, consistent with federal, state and USF System regulations and guidelines.*

**Library**: The USF Library, in consultation with other USF System institution libraries, licenses, acquires, and catalogs all electronic books, journals, databases, and all other electronic materials for USF System institutions/entities and ensures access through the online catalog to library collections, and library services for students and faculty across the USF System. In consultation with USF System institutions, maintains collaborative partnerships with state and national/international organizations such as the Florida Consortium for Library Automation (FCLA). Maintains authority control of all bibliographic records. Ensures all materials are accessible through the USF Library, MetaLib and SFX. Purchases the licenses for software tools on behalf of the USF System, including Scholar Commons, ILLIAD, RAPID, OCLC, WorldCat Local, OCLC Collection Analysis, and others as appropriate. Represents the USF System at the Council of State University Libraries.

*Each institutional library is responsible for: participating in the development of an appropriate cost-sharing model; acquiring library resources to support its mission; adhering to the exchange program and shared electronic collection usage policies.*
Registrar: In collaboration with USF System member institutions, the USF Registrar develops the USF System-wide academic calendar; coordinates USF System course scheduling; implements USF System registration policies and procedures; manages the System-wide format for student records; provides System-wide student data reports that adhere to appropriate state and federal privacy standards; and audits student records to verify accuracy and compliance with USF System policies. Responsible to state and federal agencies, BOG, and BOT for the records and registration component of the USF System student information system and for compliance with State Course Numbering System (SCNS). Establishes requirements and serves as data steward for the records and registration component of the USF System student information system.

Each institution is responsible for: registering students into classes; verifying student eligibility for graduation; issuing diplomas and transcripts; implementing the USF System calendar; adhering to policies and procedures for student records privacy; providing requested data into the student information system, including course grades in the proper format and in accord with the academic calendar and established deadlines; reviewing the graduation requirements for each academic degree offered by the institution; verifying enrollment data.

Admissions: Coordinates collaborative development of USF System-wide academic policies related to undergraduate admissions. Facilitates and promotes undergraduate student recruitment across the USF System, when appropriate. Administers initial merit awards for new undergraduate students in the USF System. Responsible for compliance with federal, state, and USF System regulations; the integrity of System admissions records; and reporting to the BOG. Establishes requirements and serves as data steward for the USF System admissions component of the student information system.

Each institution is responsible for: implementing its admissions criteria and procedures; making admission decisions in accord with policies approved by the BOT; responding to
applicants’ admission questions; scheduling and participating in high school and transfer recruiting visits; preparing information materials for prospective students.

**Student Financial Aid:** In collaboration with all USF System institutions, responsible for ensuring that federal, state, institutional, and private financial aid is awarded, disbursed, and reported as required. Coordinates the establishment, implementation and on-going evaluation of a USF System-wide financial aid leveraging model. Ensures appropriate compliance with the regulations and policies of awarding agencies. Acts as a resource to assist USF System institutions in: managing, awarding, record keeping, and reporting scholarships for their students. Establishes requirements and serves as data steward for the financial aid component of the USF System student information system.

*Each institution is responsible for:* processing student financial aid files to determine eligibility for financial aid; resolving, collaboratively, student inquiries regarding financial aid applications, awards or disbursements; establishing scholarships for students through the USF Foundation, including selecting recipients, keeping records and reporting in accord with conditions set by the donor.

**Student Affairs:** The Vice President of Student Affairs, in consultation with the member institutions of the USF System, coordinates the establishment of USF System student affairs policies and procedures. Works in collaboration with USF System institutional Student Affairs colleagues to ensure compliance with established USF System policy and, where applicable, with appropriate federal and state laws. Responsible for external reporting to the SUS, state and federal agencies.

*Each institution/entity is responsible for:* adhering to established USF System policies and procedures, as well as state and federal regulations and laws; developing programs and services that meet student needs, including student success.

**Information Technology:** In consultation with the USF System institutions/entities, the Vice President of Information Technology, reporting to both the Provost and EVP and the Chief
Operating Officer, coordinates USF System information technology strategy, and provides leadership in developing standards, policies, and procedures to ensure delivery of a secure USF System data network, enterprise technology services, infrastructure, and applications. Ensures a robust, secure data and communications network that connects the institutions/entities (as well as connecting the USF System worldwide) and provides for redundancy to the demarcation point. Assures compliance and reporting specified in both the USF System Technology Acquisition Policy and any terms, conditions, and contracts of licensors.

Each institution/entity is responsible for: establishing its local technology topology in compliance with USF System standards, policies, network security access policies, USF System Technology Acquisition Policy, Acceptable Use Policy, as well as software vendor license policies and USF System technology contracts and agreements; maintaining internal redundancy.

Information Systems: Each information system data steward is responsible for the definition of data elements, rules, policies and procedures, with support from the USF System Information Technologies Office. In its data custodian role, the Information Technology Office has responsibility for the safe custody, transport, storage, infrastructure of the data and implementation of business rules. Data stewards are responsible for what is stored in a data field, while data custodians are responsible for the technical environment, application, database structure, infrastructure and access.

Each institution/entity is responsible for: effectively managing its information resources to comply with USF System policies and procedures, information technology standards and procedures with regard to transactions involving USF System information services; utilizing the USF System infrastructure to enter required data that connects to each institution’s/entity’s portal.

III. Office of the USF System Senior Vice President for Research, Innovation & Economic Development: The Senior Vice President for Research, Innovation & Economic
Development provides USF System leadership through policy development, service, and advocacy of research, scholarship, innovation and global affairs.

*Each institution/entity is responsible for: working in close collaboration with the Senior Vice President for Research, Innovation and Global Affairs.*

**Research and Innovation:** Develops and negotiates USF System research policies with agencies, foundations, and companies regarding USF System-wide research awards, in collaboration with member institutions/entities. Promotes and coordinates new initiatives, seeds interdisciplinary research and economic development opportunities, and engages in public-private partnerships both domestically and internationally. Provides leadership for development of policies for the USF Research Park and business incubators across the USF System. Provides assistance to faculty, staff, and students at all USF System institutions in locating research funding, preparing proposals, and training in research project administration, including assistance in developing intellectual property patents, licenses and start-up companies. Manages research integrity, compliance and animal facilities. Processes and monitors USF System research grants and contracts.

*Each institution/entity is responsible for: ensuring that faculty act in accord with the grant and contract award; disclosing new intellectual property and conflicts of interest; adhering to integrity and compliance policies; attending appropriate training; determining that all commitments included in grant and contract proposals submitted by faculty can be met by the institution/entity within available resources and facilities; processing and monitoring institution-based research grants and contracts.*

**IV. Office of the USF System Senior Vice President and Chief Operating Officer (COO):** In collaboration with all USF System institutions, the Senior Vice President and COO provides strategic leadership for the implementation, coordination and, where applicable, the operation of USF System business, financial, human resources, facilities, and information technology services. Ensures that all such services are redesigned and regularly evaluated to respond to the operating, management and service needs of USF System users in the most effective and
efficient manner possible. Provides USF System-wide services in accord with BOT policies and appropriate federal and state laws and regulations.

*Each institution/entity is responsible for: adhering to approved policies and procedures; identifying those USF System-wide services that require improvement.*

**Business and Finance:** In collaboration with all USF System institutions, the Vice President and Chief Fiscal Officer provides leadership for: USF System-wide financial transactions; cash management; investments; debt management; budget support; purchasing and payments transactions; equipment/property inventory; federal indirect cost rate studies for grants and contracts; providing required USF System, state, federal and other association/agency grants and contracts status reports. Defines policies and procedures to reduce risk and ensure appropriate stewardship of USF System resources. Establishes requirements and serves as data steward for USF System financial information systems.

*Each institution/entity is responsible for: developing its budget; adhering to its budget once approved by the BOT; making appropriate expenditure decisions that are within its available financial resources; managing assets in compliance with USF System policies and procedures.*

**Controller’s Office:** Provides oversight of financial operations in order to maintain the integrity of transactions. Generates and distributes official USF System financial reports and audited financial statements. Provides such USF System fiscal services as cost allocation, vendor payments, travel reimbursements, accounts receivable, grants/contracts post grant/contract award functions, student accounting, bank reconciliations, processing of refunds and student loan collections. Monitors compliance of procurement card expenditures. Prepares F&A indirect cost study and advises on state and federal tax issues. Prepares or reviews required tax returns for the USF System. Serves as the official USF System repository for financial records and defines appropriate policies and procedures to minimize risk, maximize efficiency and remain in compliance with Financial Accounting Standards
Board (FASB)/Governmental Accounting Standards Board (GASB), and state and federal
laws/regulations.

*Each institution/entity is responsible for: initiating financial transactions in accord with USF System policies and procedures; monitoring the results of transactions to verify their accuracy and timeliness; being accountable for inappropriate expenditures or losses.*

**Treasurer’s Office:** Provides such USF System treasury functions as: banking relationships; management of cash, investments, loans, debt, and real property; strategic financial planning, capital budgeting and risk management in relation to bonded projects. Develops reporting policies and procedures to be in compliance with FASB, state and federal regulations and laws. Manages risk to the USF System.

*Each institution/entity is responsible for: acting in accord with the USF System treasury policies, procedures, and advice; reviewing the accuracy of reports and other relevant information; minimizing risks to USF System assets.*

**Purchasing & Property Services:** Provides the USF System interpretation of state and federal regulations and laws. Develops policies and procedures for the acquisition of supplies and equipment. Develops and facilitates purchasing processes, including purchase orders and PCards. Communicates state contract and qualified vendor lists to USF System institutions/entities. Reviews purchase orders exceeding regulatory amounts. Facilitates the competitive bidding process. Establishes requirements and serves as data steward for the USF System information system related to property and related property policies and procedures.

*Each institution/entity is responsible for: complying with USF System purchasing and property policies and procedures to acquire services, supplies, equipment, and property; having available the funds required to pay for all incurred obligations.*
**Budget Support:** Provides USF System support to its institutions/entities for the annual budget development process and its periodic revision. Generates reports to USF System leadership, institutions/entities, state and other agencies. Monitors actual performance versus the approved budget for each of the institutions/entities. Ensures that budget activities are reflective of approved budget plans, strategies and timelines. Manages the budget functionality of the USF System financial system including oversight of the input of the approved budget information for each institution/entity. In consultation with USF System institutions/entities, develops USF System budget policies and procedures and projections of revenues and expenditures for budget planning. Provides appropriate reports to the state in compliance with appropriate laws and regulations. Develops and produces the USF System operating budget, annual expenditure analysis, and salary category detail files, as prescribed by the BOG.

*Each institution/entity is responsible for: developing its own budget in accord with Florida statute, BOT operating procedures, and USF System policies and procedures; managing that budget within the institution’s/entity’s approved budget of revenues and expenditures; submitting proposed changes to the approved budget in accord with USF System policies and procedures.*

**Business Systems Reengineering** – Coordinates USF System continuous improvement of all enterprise business systems, including Oracle PeopleSoft Enterprise FSCM (FAST) and HCM (GEMS). Partners with institutional, technical and functional units to evaluate business related systems, to perform analysis of business processes, to assess system capabilities, to provide design guidance, to coordinate business system priorities, to manage project teams, and to ensure quality system implementations. Coordinates activities related to BOG’s State University System Data Administration for the USF System.

*Each institution/entity is responsible for: adhering to enterprise system guidelines; participating and providing input related to business system and business process changes; providing appropriate responses to BOG’s data requests.*
Audit and Compliance: Provides USF System internal audit and compliance reviews. Coordinates all external auditors’ reviews affecting USF System institutions/entities.

Each institution/entity is responsible for: facilitating audits and compliance reviews; implementing recommendations.

Administrative Services: In collaboration with USF System institutions/entities, the Vice President for Administrative Services provides leadership for development of USF System regulations, policies and procedures addressing human resources, environmental health and safety, facilities planning and construction, police, and emergency management. Coordinates the development of protocols, programs and procedures that relate to each of these activities and functions. Establishes requirements and serves as data steward for the USF System human resources information system.

Each institution/entity is responsible for: hiring staff and faculty in compliance with USF System policies and procedures and within the institution’s/entity’s approved resources; providing a safe and healthy environment that meets or exceeds the standards set by the USF System; being prepared to respond to emergency situations; working in accord with state and federal law regarding law enforcement and regulations and policies established by the USF System; submitting for review and approval recommended plans for new construction or the renovation of existing facilities in accord with established policies and procedures.

Human Resources: In collaboration with USF System institutions/entities, ensures that all employees of the USF System are properly paid and receive authorized state and USF System benefits. Manages state benefit programs and ensures regulatory compliance for retirement, including monitoring contribution limits and performing non-discrimination testing. Serves as an employee relations resource to institutions/entities regarding suspensions and dismissals to ensure compliance with federal, state, and local laws, as well as USF System regulations, policies and procedures. Oversees USF System compliance with workers’ compensation and unemployment compensation rules and regulations. Administers the Employee Assistance Program (EAP). Engages in collective bargaining with authorized
unions for the USF System and manages resulting collective bargaining agreements. Coordinates the establishment of USF System human resources policies and procedures, including classification, compensation, recruitment and other terms of employment for all employees (except employment of faculty). Prepares reports required by state and federal regulations and laws. Facilitates the implementation and assessment of training and professional development programs. Establishes requirements and serves as data steward for the Human Resource Enterprise System (GEMS) by administering proper system/administrative controls and data security.

Each institution/entity is responsible for: defining staffing needs and hiring staff in accord with USF System policies; ensuring that submittals for payroll authorization accurately reflect the work performed by each employee; ensuring that performance expectations and evaluations are articulated and communicated regularly to each employee; providing access to appropriate and timely grievance procedures; providing employees access to training and professional development opportunities.

Environmental Health and Safety: Ensures USF System-wide compliance with federal, state, and local laws and regulations related to environmental health and safety, including fire safety, laboratory safety, industrial hygiene, hazardous waste management, occupational safety, and risk management/insurance. Develops appropriate policies and procedures. Conducts training. Provides compliance assistance to USF System institutions/entities. Acts as the USF System liaison to external regulatory agencies. Coordinates management of the disposal of chemical and biomedical waste. Coordinates mandatory and optional insurance coverage offered through the State of Florida.

Each institution/entity is responsible for: ensuring the health and safety of its employees, students and visitors. (If the institution/entity can demonstrate that it can perform required activities locally and receives delegated authorization, some inspections may be performed locally with periodic USF System audits to ensure that performance meets or exceeds defined standards.)
Emergency Management: In consultation with USF System institutions/entities, provides leadership for all-hazard emergency operations plans and policies. Facilitates the development of public safety programs and training across the USF System, including emergency awareness/preparedness education campaigns. Serves as the primary staff liaison to the USF System Continuity of Operations Plan (COOP) and Comprehensive Emergency Management Plan (CEMP). Serves as the central coordinating entity and liaison among USF institutions/entities for asset protection with federal, state, and local governmental and non-governmental agencies. Provides USF System all-hazard warning and notification and serves as the USF Coordinating Officer regarding emergencies and disasters, including activation of the USF Emergency Operations Center.

Each institution/entity is responsible for: having an approved emergency response plan that is effectively communicated; training key individuals responsible for the implementation of the plan; coordinating the response plan with local public safety agencies.

Facilities Planning and Construction: In consultation with USF System institutions/entities, coordinates USF System campus design and construction policies and procedures. Provides all routine and ad hoc reports required by the BOG and the state. Oversees the USF System Building Code Administration Program. Facilitates USF System policies and procedures for USF institution/entity design and construction submittals to the BOG/state. Files USF System state reports as required.

Each institution/entity is responsible for: submitting priorities and the required documentation for inclusion in the USF System Fixed Capital Outlay Legislative Budget Request; providing requested data in the proper format and in accord with reporting requirements and established deadlines; providing project management support for approved capital projects to ensure that construction of the approved scope is done within budget, on schedule, and with the necessary funding to meet all the specified conditions of project program, scope, and expenditures.

USF World: Oversees “USF World,” which coordinates the activities of students, faculty, staff, alumni, and academic and research partners in the business and government
communities in study abroad, student and faculty exchanges, collaborative research, internships, service learning and outreach and engagement. Provides assistance to international students and faculty studying and working at USF System institutions. Provides USF System students and faculty traveling abroad with appropriate documentation and advice/assistance to experience and adapt to cultural differences optimally. Provides leadership for collaborative development of USF System policies and procedures to encourage and assist students and faculty to take advantage of global opportunities.

Each institution is responsible for: encouraging the development of global activities within its available resources and appropriate to its mission; assisting its matriculated international students, as well as its American students studying abroad to follow appropriate procedures; ensuring that faculty and staff engaged in global learning and study abroad programs act in accord with the appropriate USF System policies and procedures and, where applicable, state and federal rules and regulations.

Information Technology (see Section II Office of the USF System Provost and Executive Vice President (EVP) above)

V. USF System Office for Advancement: In collaboration with USF System institutions/entities, the Senior Vice President of Advancement provides USF System leadership in the creation of a strategic approach to securing donations from private individuals, corporations and foundations in support of USF System institutions/entities as well as strategies to encourage continuing involvement and support of alumni. Coordinates contacts of potential donors in the best interests of the USF System. Defines policies and procedures to ensure that the USF System demonstrates good stewardship of all gifts received and appropriate donor recognition. Coordinates Governmental Relations activities under the leadership of the President of the USF System.

Each institution/entity is responsible for: working collaboratively with the Senior Vice President for Advancement; acting in accord with established policies and procedures.
Advancement: Provides USF System leadership in the development of strategies to secure private donations from individuals, corporations and foundations. Coordinates outreach to potential donors in the overall best interests of the USF System. Defines policies and procedures to ensure that the USF System demonstrates good stewardship of all gifts received and appropriate donor recognition.

Each institution/entity is responsible for: proposing gift opportunities; identifying prospective donors; initiating gift solicitations in accord with USF System policies, procedures and with the approval of the Senior Vice President for Advancement.
APPENDIX A

University of South Florida
Direct Support Organizations and Component Units
March 31, 2009

Direct Support Organization Defined

A Direct Support Organization (DSO) is a separate, not-for-profit corporation organized and operated exclusively to assist the University to achieve excellence by providing supplemental resources from private gifts and bequests, and valuable educational support services. These organizations are authorized by Florida Statute to receive, hold, invest and administer property and to make expenditures to or for the benefit of the University. An independent certified public accountant conducts an annual audit of each organization’s financial statements and the annual audit report is submitted to the Board of Trustees, the Board of Governor’s Office and the Auditor General. Information on each DSO is provided below.

Component Unit Defined

A Component Unit (CU) is an entity for which the Primary Government (PG) is financially accountable or any organization for which the nature and significance of their relationship with the PG is such that exclusion would cause the PG’s financial statements to be misleading or incomplete. Information on each CU is provided below.

USF Foundation, Inc. (DSO & CU)

Mission
The USF Foundation is a private, not-for-profit corporation chartered under Florida Statutes to function as the legal conduit for the raising, acceptance, investment, and distribution of all private gifts made to the University of South Florida. The USF Foundation promotes higher education in general and specifically encourages the advancement of teaching, research and community engagement through private support for the University’s academic, research and student development endeavors.

The USF Foundation is guided by a Board, composed of alumni, business and community leaders who are vitally interested in higher education in the greater Tampa Bay region and beyond. The Board directs the receipt and administration of private funds, properties, and services contributed to USF. It accepts gifts in support of activities directly related to the mission of the University of South Florida, including cash, property (real and otherwise), securities, bequests, and trust and life income agreements.

**USF Alumni Association, Inc. (DSO & CU)**

**Mission**

The USF Alumni Association seeks to maintain and enhance a mutually beneficial, lifelong relationship between the University and its alumni. The mission of the Alumni Association is to connect alumni, support students, and strengthen USF.

**University Medical Service Association, Inc. (DSO & CU-Only)**

**Mission**

The Corporation is organized as a not-for-profit corporation under Chapter 617, Florida Statutes (2002). The Corporation shall be operated exclusively for scientific and educational purposes and not for pecuniary profit, and exclusively for the support and benefit of the University. The
Corporation shall possess all powers and authority as are now or may hereafter be granted to not-for-profit corporations under the laws of the State of Florida. The specific purposes for which the Corporation is organized shall include the collection, administration and distribution of funds exclusively for the support of the objectives of the College, the University’s Health Center, and the University in accordance with the College Faculty Practice Plan adopted in accordance with BOG Regulation 9.017, and USF Regulation 9.017 or corresponding provisions of any subsequent laws or rules.

**USF Medical Services Support Corporation (DSO & CU)**

**Mission**

USF MSSC provides non-physician personnel and services in support of the operation of the facilities utilized by the University’s College of Medicine for its approved programs of medical education, research, and clinical service. USF MSSC has also been authorized to function as the fiscal agent for the administration of USF Health Sciences Center Continuing Professional Education program funds. It is organized as a not-for-profit Corporation under Chapter 617, Florida Statutes, and is operated exclusively for charitable, scientific and educational purposes and for the support and benefit of the University. The Corporation provides support services and is available to perform other functions consistent with the Corporation’s status as a DSO.

**USF Health Professions Conferencing Corporation (DSO & CU)**

**Mission**

The USF Health Professions Conferencing Corporation assists healthcare professionals with the development and maintenance of professional excellence through the ethical, innovative and efficient dissemination of knowledge and enhancement of skills required for clinical practice, research and education. The Health Professions Conferencing Corporation is committed to
sponsoring quality activities/events to meet the needs of USF faculty, alumni and healthcare professionals practicing throughout the state, nationally and internationally.

**USF Research Foundation, Inc. (DSO & CU)**

Mission
The USF Research Foundation, Inc. exists to support technology research as a catalyst for economic development and advocates the development and construction of facilities for high-technology companies and related support functions. The Research Foundation facilitates the commercialization of university inventions and is responsible for administering all royalties related to intellectual property. The Research Foundation also serves as the fiduciary entity for private contracts and grants on behalf of the University.

**USF Financing Corporation, Inc. (DSO & CU)**

Mission
The USF Financing Corporation is a Florida not-for-profit corporation organized to receive, hold, invest and administer property for the benefit of the University.

**USF Property Corporation (CU Only)**

Mission
The USF Property Corporation is a Florida not-for-profit corporation formed to support the University and the Financing Corporation by assisting in acquiring and constructing facilities.

**Sun Dome, Inc. (DSO & CU)**
Mission

Sun Dome, Inc. is organized to operate and administer for and on behalf of the University of South Florida certain facilities located on the campus of the University in Hillsborough County, Florida, as designated by the University, for the conduct of activities, events and entertainment on behalf of the University’s students, faculty and staff; provided however, that the Corporation shall make space available for University personnel at such times as directed by the University’s President, or President’s designee.