

AGENCY NAME:	Winthrop University		
AGENCY CODE:	H47	SECTION:	021

**Fiscal Year 2015-16
Accountability Report**

SUBMISSION FORM

AGENCY MISSION

Winthrop University provides personalized and challenging undergraduate, graduate, and continuing professional education programs of national caliber within a context dedicated to public service to the nation and to the State of South Carolina. Winthrop's longtime commitment to be among the very best institutions of its kind in the nation continually guides the mission of the university.

Building on its 19th century origins as a distinctive women's college, the Winthrop University of the 21st century is achieving national stature as a competitive and distinctive, co-educational, public, residential comprehensive, values-oriented institution. The values of service, excellence, diversity, community, and leadership provide the foundation for Winthrop's continuing development and shape Winthrop's continuing success.

Winthrop enrolls an achievement-oriented, culturally diverse and socially responsible student body between 6,500 and 7,000 students. The University recruits South Carolina's most able students as well as highly qualified students from beyond the state whose presence adds diversity and enrichment to the campus and the state. Winthrop prides itself on being an institution of choice for groups traditionally under-represented on many college campuses.

Winthrop is located in a traditional setting of exceptional beauty, and provides a contemporary, collaborative, and supportive environment that fosters engaged student learning and development. Winthrop has a diverse and able faculty and professional staff of national caliber and supports their work as effective teachers, scholars, researchers, practitioners, and creative artists. Through this talented group, Winthrop students acquire and develop knowledge, skills, capabilities and values that enrich their lives and prepare them to meet the needs and challenges of the contemporary world, including the ability to communicate effectively, appreciate diversity, work collaboratively, synthesize knowledge, solve complex problems and adapt to change.

Ongoing assessment of programs and services ensures both that all academic programs challenge students at their highest level of ability and that the library, instructional technology and other academic service areas support courses of study that are consonant with best practices. As a result, Winthrop graduates are eminently well prepared to enter the most competitive graduate or professional schools as well as to be leaders in their chosen professions and in their communities.

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AGENCY VISION

"Winthrop will be a national model for providing a supportive, high quality and affordable educational experience that has a positive impact on the students and the community."

Please state yes or no if the agency has any major or minor (internal or external) recommendations that would allow the agency to operate more effectively and efficiently.

RESTRUCTURING
RECOMMENDATIONS:

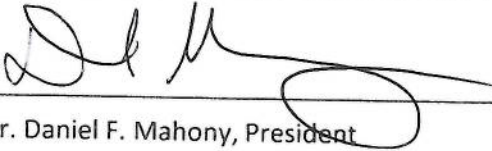
No, Winthrop does not have any major or minor (internal or external) restructuring recommendations.

Please identify your agency's preferred contacts for this year's accountability report.

	<i>Name</i>	<i>Phone</i>	<i>Email</i>
PRIMARY CONTACT:	Karen C. Jones	803/323-3708	jonesk@winthrop.edu
SECONDARY CONTACT:	Maria Linn	803/323-3928	linnm@winthrop.edu


I have reviewed and approved the enclosed FY 2015-16 Accountability Report, which is complete and accurate to the extent of my knowledge.

AGENCY DIRECTOR (SIGN
AND DATE):


9-8-2016

(TYPE/PRINT NAME): Dr. Daniel F. Mahony, President

BOARD/CMSN CHAIR
(SIGN AND DATE):


9-8-2016

(TYPE/PRINT NAME): Mr. Karl Folkens, Board of Trustees Chair

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AGENCY’S DISCUSSION AND ANALYSIS

Winthrop University offers quality and access while promoting individual achievement and the greater good, recognizing that higher education serves three primary, interrelated purposes:

- To fuel the economic engines of South Carolina and of the nation through workforce development and entrepreneurship;
- To prepare people for democratic citizenship and social responsibility through exposure to the liberal arts, diverse people and experiences, and challenges that develop higher levels of intellectual, ethical, and moral reasoning;
- To promote professional success and social mobility by recognizing the fundamental connection between *quality* of education and *equality* of opportunity.

Winthrop University engages in continuous, institution-wide, research-based planning and evaluation that includes senior and mid-level leadership in academic, administrative, and student support service units. Winthrop’s annual planning cycle is synchronized with South Carolina’s fiscal year, July 1 through June 30.

Winthrop’s eleventh president, Dr. Daniel Mahony, initiated a comprehensive year-long campus-wide assessment of academic, student services, labor (faculty, staff, administrators), fiscal, technological, accreditation and government (federal and state) factors affecting Winthrop’s ability to achieve its institutional mission to deliver national caliber programs within the context of Winthrop’s values of public service, excellence, diversity, community, and leadership.

Winthrop’s 2015-16 State Accountability Report provides an overview of **performance and achievements** related to institutional goals, transparency, evidence of compliance with state and federal regulations and regional accreditation standards ([SACSCOC](#)), and Winthrop’s contributions to achieving [SC’s higher education goals](#) and all five of SC’s [2016 Statewide Enterprise Strategic Objectives](#), in particular Objective #1: Education, Training, and Human Development. Examples of Winthrop’s 2015-16 achievements span all campus divisions and are contextualized by Winthrop’s four goals in the institution’s 2015-16 Strategic Planning Template.

Goal 1: Promote access and degree attainment for an increasing number of students. (Supports SC 2016 Statewide Enterprise Strategic Objectives #1 **Education, Training and Human Development** and #4 **Public Infrastructure and Economic Development**. Also Supports [SC 2014 Statistical Abstract goal III.E](#) to assure access to and equality of educational opportunity among underrepresented populations in South Carolina higher education, and III.H. To expand post-secondary educational opportunities for SC residents, to recognize student achievement, and to encourage excellence in teaching and research by administering various higher education programs.)

- Recruitment of freshmen in the top of their class climbed from 51 percent to 55 percent, contributing to [Winthrop’s 2016 U.S. News & World Report’s ranking \(eighth among the top ten public universities in its category in the South\)](#).
- Winthrop’s [2015 IPEDS Data Feedback Report](#) (DFR) highlights Winthrop’s commitment to provide higher education access to under-served populations in South Carolina:
 - 90% of Winthrop undergraduate students and 87% of all students are from SC.
 - Hispanic/Latino enrollment increased (4% of the student body, as documented in Winthrop’s [2015 DFR](#)), more closely reflecting SC’s Latino/Hispanic population,

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- compared to prior DFRs (3% [[2014 DFR](#)], 2% [[2013 DFR](#)], and 1% [[2012 DFR](#)]).
- 37% of the student body are multicultural;
- 44% of first-time freshmen and 41% of all undergraduates are Pell grant recipients;
- 98% of first-time freshmen received grant or scholarship aid;
- Winthrop’s Hispanic student 6-year graduation rate was 50% and its Black or African American student 6-year graduation rate was 54%, compared to Winthrop’s institutional 6-year graduation rate of 51%.
- During fall 2015, President Mahony named Strategic Priority Working Groups for retention and graduation rate improvements. To see working group reports and recommendations click here, [Retention](#) and [Graduation Rate Improvement](#).
- The following new scholarships were created in 2015-16: the [Daniel E. Nulman Memorial Endowed Scholarship](#), the [John Winthrop Endowed Scholarship](#), the [Jimmie Matthews Scholarship in Art Education](#), the [Brennan Family Scholarship](#), the [Mike and Jennifer Fayed Scholarship](#), and the [Earl Haden Jr. and Brenda Jean Hewitt Hamilton Endowed Scholarship](#).
- The 2016 [Eagle Club Scholarship Auction](#) raised \$108,000 for athletic scholarships—the second highest total in the auction’s 25-year history.
- In 2015-16, Winthrop’s [18 sports teams combined to raise their cumulative GPA to a record-high 3.16](#) while finishing the spring semester with a 3.16 as well, earning [Big South Conference Presidential Honor Roll](#) distinction.

Goal 2: Continually enhance the quality of the Winthrop experience for all students. (Supports SC 2016 Statewide Enterprise Strategic Objectives #1 **Education, training and Human Development**. Also supports [SC goal III.E](#). *to assure access to and equality of educational opportunity among underrepresented populations in South Carolina higher education*, and III.F. *To expand post-secondary educational opportunities for South Carolina residents, to recognize student achievement, and to encourage excellence in teaching and research by administering various higher education programs*.)

- Winthrop’s [Second Annual Showcase of Undergraduate Research and Creative Endeavors \(SOURCE\) was held on Friday, April 22 and showcased projects from the sciences, mass communication, mathematics, history, political science, social work, and psychology](#). Nearly 120 presentations and more than 40 works displayed at the 28th Annual Undergraduate Juried Exhibition were included in Winthrop’s spring 2016 showcase.
- Winthrop McNair Scholars [earned five awards at the 2015](#) national McNair annual meeting hosted by the Southeastern Association of Equal Opportunity Programs and Personnel (SAEOPP) in Atlanta. Winthrop McNair Scholars competed with peers from other institutions including, but not limited to UC Davis, University of Florida, University of Illinois, UNLV, LSU, Rider, and USC.
- President Mahony’s working group on Academic Program Mix [identified and recommended](#) improvements to Winthrop’s program offerings.
- A multi-year [Football Feasibility Study](#) was concluded in May 2016 that involved extensive faculty research and feedback from students, alumni, community members, faculty, and staff. Based on the report recommendations, the [President and Board of Trustees agreed](#) not to pursue a football program because the resources that would be needed would be better spent elsewhere, on initiatives developed in the strategic planning process focused on improving the educational experience of all Winthrop students.
- [Winthrop celebrated the 25th anniversary of the American Disabilities Act](#) with the PhotoVoice exhibit (October 1-24, 2015) that featured photography from Winthrop students documenting barriers and

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access, and with the Accessibility Fair (October 13, 2015). Support for this project was provided by the Arts Council of York County Small Grants Program, the John and Susan Bennett Memorial Arts Fund of the Coastal Community Foundation of SC, and the SC Arts Commission, which received funding from the National Endowment for the Arts.

- [The S.C. Press Association awarded *The Johnsonian*](#), Winthrop's student newspaper, its top prize for general excellence.
- The Model United Nations, hosted at Winthrop, celebrated its [40th anniversary](#) with keynote speaker Jean-Victor Nkolo, who has worked at the United Nations for over 20 years. More than 2,000 Winthrop students and 10,000 high school students have participated in the Model U.N.
- [Winthrop senior Adaeze Aninweze, a chemistry major from Nigeria, won a National Security Education Program David L. Boren Undergraduate Scholarship for Study Abroad](#). Aninweze worked with Winthrop's [Office of Nationally Competitive Awards](#) to complete the scholarship application process. She is part of Winthrop's [Eagle STEM Scholars program](#) and will travel to Brazil to learn Portuguese and take courses in public health; she hopes to work as a doctor in international medicine improving global health.
- Rachel Burns, a senior from Colorado Springs majoring in English, is [Winthrop's first student Fulbright Scholarship winner](#). She'll spend part of 2017 teaching English to students in South Africa.
- Winthrop's tennis player Steven Patrick was awarded one of the two [Bob McCloskey Insurance Big South Conference Graduate Fellowships](#) that recognizes academic excellence and an intent to pursue postgraduate studies following graduation (May 2016).
- Three [Winthrop senior chemistry majors](#) (Katja Hall, Danielle Thibault, and Jessica Zinna) were honored with the [Carolina-Piedmont Section](#) of the American Chemistry Society's 2016 Outstanding Student Leadership Award. Following May graduation, Hall will study chemistry at Clemson, Thibault will begin a master's degree in commerce at the University of VA, and Zinna will study chemistry at the University of Notre Dame.
- John William Barrera, a senior biology major, won a [Phi Kappa Phi Fellowship](#), which he will use to pursue a medical degree from the University of South Carolina program. Only [51 Fellowships](#) are awarded nationally based on academic achievement, service, and leadership.
- Winthrop political science students Elisabeth West and Tyra Holcombe were chosen to represent Winthrop in [College Debate 2016](#), a technology and social media initiative to catalyze discussions among young voters across the country about issues such as college costs, climate change, healthcare, and immigration.

Goal 3: Enhance the work environment for faculty and staff. (Supports SC 2016 Statewide Enterprise Strategic Objectives #4 **Public Infrastructure and Economic Development** and #5 **Government and Citizens**)

- During fall 2015, President Mahony named [multiple working groups](#) to continue to examine institutional areas related to compensation and employee satisfaction. As a result of the [Competitive Compensation Committee's salary study](#), approximately 200 full-time employees received both a one-time increase and base salary increase in April 2016.
- The President's Working Group on Employee Satisfaction was created in fall 2015 and is working to identify 5-10 non-salary related ideas to improve employee satisfaction at Winthrop.
- In April 2016, an [Interim Strategic Planning Report](#), incorporating input from external and internal stakeholders, was shared with the campus community. In July, five additional working groups were formed to recommend targets for key metrics used to assess progress toward University goals and objectives.
- The President's Working Group on Diversity [gave recommendations](#) on strategies to increase the diversity of Winthrop's faculty and staff.

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- The [Provost's Spotlight on Scholarship series](#) was established in 2014 to highlight faculty research and give employees a chance to learn about their colleagues' areas of expertise. Five presentations were held in 2015-16, including sessions on [personal finance education](#), [educational strategies for U.S. economic competitiveness](#), and the [rise of for-profit colleges in America](#).
- [Staff Conference](#), created in 2014 to provide a forum for communication that enhances the work environment and values the ideas of all staff, has worked to implement the following employee appreciation initiatives in 2015-16: [Staff of the Month](#) award, a [monthly newsletter](#) to improve communication and staff recognition, a [feedback form](#) that gives staff the opportunity to anonymously ask questions that the President answers at each monthly meeting, [discounts](#) at local businesses, discounted admission to [Carowinds](#) and [Charlotte Knights baseball](#), free meals at the City of Rock Hill's [Food Truck Friday](#), and Crafts at Lunch personal development opportunities.
- Staff Conference has worked to represent the interests and concerns of staff to the President and, beginning in Fall 2016, will have official representation on each of the six Board of Trustees subcommittees. Also beginning in Fall 2016, the Chair of Staff Assembly has been invited to address the study body at Convocation, along with the Chair of Faculty Assembly.

Goal 4: Forge new and solidify existing partnerships that create mutual benefit. (Supports [SC goal III. A](#), to make South Carolina a global leader by working with business and industry to foster higher education's role in economic growth and human development, and supports SC 2016 Statewide Enterprise Strategic Objectives #4 **Public Infrastructure and Economic Development** and #5 **Government and Citizens**)

- In July 2015, [Laura Ullrich, associate professor of economics, worked with Lucy Gallo of Development Planning & Financing Group Inc.](#), to update a two-year-old study on the effects of the Dave Lyle Boulevard extension. According to [Ullrich's report](#), expansion of this boulevard from Rock Hill to U.S. 521 provides unparalleled economic opportunity for York and Lancaster counties, including more jobs, increased tax dollars, and nearly \$2.4 billion in annual economic output.
- The John C. West Forum on Politics and Policy at WU partnered with the [College of Charleston](#) to bring the [SC NEW Leadership Summer Institute](#) to Winthrop (May 15-19, 2016). The goal of NEW Leadership South Carolina (affiliated with the NEW Leadership Network created by the [Center for American Women and Politics at Rutgers University](#)) is to inspire women to enter public service. Participants visited the Columbia, SC State House on May 18 and met with female state leaders including SC Superintendent of Education Molly Spearman, SC Supreme Court Justice Kaye G. Hearn, Governor Nikki Haley's Chief of Staff Swati Patel, and Nexsen Pruet attorney Marguerite Willis.
- In 2015-16, Winthrop hosted ten [primary presidential candidates](#) on campus, including the [First in the South Democratic Candidates Forum](#), which received national coverage on MSNBC.
- Winthrop's new Rock Hill partnership with [Pulcra Chemicals LLC](#) supports students studying chemistry or conducting chemistry research. During the 2016 Showcase of Undergraduate Research and Creative Endeavors (SOURCE), [Lisa Trunk '76, '91, managing director for HR at Pulcra, presented chemistry major Rayshon Ellis with the first Pulcra Chemical Scholarship](#) and Research Fund.
- On May 19, 2016, Winthrop [Political Science Professor Scott Huffmon](#) moderated a debate between SC Sen. Wes Hayes and challenger Wes Climer. The debate was held in the [DiGiorgio Campus Center's Richardson Ballroom](#), was jointly sponsored by the York County GOP and the Clover-Lake Wylie Republican Women, and was open and free to the public.
- The second annual [Sonia Kovalevsky Math Outreach Day](#) for girls in grades sixth through eighth, funded by an INBRE grant, was held on campus May 14, 2016. Sonia Kovalevsky was the first major Russian female mathematician and the first woman to be appointed to a full professorship in Europe.

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- CVPA’s CreatorSpace was [developed as part of a partnership between WU CVPA and Knowledge Park](#) and provides new outlets for student invention.
- For the fifth consecutive year, Winthrop hosted the U.S. State Department’s [Teaching Excellence and Achievement \(TEA\) Program](#), an initiative which brought 20 international teachers to exchange best teaching practices with Rock Hill high school faculty and to participate in a wide range of cultural exchange activities over an intensive six-week program.
- [Winthrop alumni Brent Pafford '10, Michael Logan Woods '09, and Meredith Dallas '15 were top award winners at ArtFields](#), an art festival held in Lake City April 22-30, 2016. Artists across 12 Southeastern states exhibited nearly 400 works of art.
- Winthrop alumna and Clinton College President Elaine Copeland '71 received the [Order of the Silver Crescent](#), one of the state’s highest civilian awards for lifelong influence within a community.
- In June 2016, WU alumnus [Hamilton Hopkins '89 was chosen to lead Carolinas College of Health Sciences in Charlotte, NC](#); Hopkins credits his Winthrop experiences in Dinkins Student Union (now the DiGiorgio Student Union), student government, and residence life with helping him discover his passion for working in higher education.
- Jimmie Williamson '80, '85, the former president and CEO of the S.C. Technical College System, was named the [State Employee of the Year](#) by the SC Association of Regional Councils and, effective July 1, will serve as the eighth [system president for North Carolina Community Colleges](#).
- Melissa Gladden '99, South Carolina’s [2015 Small Business Person of the Year](#), was named by *The Charlotte Business Journal* as one of the [25 most influential women in business](#) in the Greater Charlotte area.
- Montrie Belton '96, '99 [completed his Juris Doctorate at the University of South Carolina School of Law; he lives in Fort Mill and will be opening his law office in 2016](#). While at Winthrop, the Abbeville, SC native participated in student government and was a member of an organization called Taking Integrity Back, mentored by the late [Professor of English, Dr. Dorothy Perry Thompson](#).

I. Risk Assessment and [Mitigation Strategies](#)

Most negative impact on the public as a result of the agency’s failure in accomplishing its goals and objectives

The most negative impact on the public to result from the institution’s failure in accomplishing its goals and objectives would be the loss of regional accreditation that would in turn render Winthrop ineligible to offer Title IV Federal Financial Aid to current or prospective students. Failure to retain and sustain regional accreditation leads to the loss of federal financial aid for students, thereby compromising Winthrop’s first and second goals (access and degree attainment, and enhancement of the quality of Winthrop learning experiences for all students), and the South Carolina Educational Infrastructure to elevate the educational preparedness of every South Carolinian to lead a healthy and productive life, including success in a job or career and in a community ([Statewide Enterprise Strategic Objective \(SESO\) #1, pg. 2](#)).

On average, [SC has reduced state appropriations to public universities \(including Winthrop\) by 42% since the recession began](#). Loss of state appropriations increases the financial burden of students (increases in tuition costs, housing, and meal plans) and compromises the availability of resources and services to students (e.g., limited staff availability after hours needed to accommodate citizens who are working or caring for families and need access during evenings and weekends). Given that 90% of Winthrop undergraduate students are from SC, and ~ 41% of Winthrop undergraduates are eligible for federal Pell grants, loss of federal financial aid would negatively impact South Carolina’s

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historically underserved populations, the very citizens SC identifies as needing the most support to advance their education to compete for employment opportunities that provide a living wage.

Losing regional accreditation negatively impacts Winthrop’s ability to retain and sustain specialized program accreditations, approvals, and certifications, further compromising educational access for South Carolinians needing specialized knowledge and skills to fill workforce needs of companies/industries moving into the state to conduct business and produce goods and services needed by South Carolinians.

Mitigation Strategies

Since SC began reducing its appropriations to public higher education institutions, Winthrop has undertaken a series of preemptive steps to [mitigate the loss of > \\$42 million since the recession began](#). [Readiness Winthrop](#) was announced in 2010 and expanded in 2011 as federal and state monies for higher education began to shrink, unemployment was on the rise, and families were depending on higher education to support their needs for evolving learning and skills required in the 21st century. [In 2014, Acting President Debra Boyd initiated a new spending analysis and 10% budget freeze](#) to study all campus operating budgets and identify additional opportunities to improve both efficiencies and effectiveness.

During 2015-16, President Mahony made budget presentations to faculty, staff, and the Board of Trustees (BOT) beginning with [a budget update in August 2015](#), announcement of [a strategic planning process in October 2015 to identify institutional priorities and inform resource allocations](#), and an [October 2015 budget presentation to the BOT](#) apprising them that examination of Winthrop budgets for additional savings – begun by Debra Boyd last year – continues as Winthrop works to stay on target for the 2015-16 fiscal year. President Mahony’s 2016 budget presentation to [faculty](#) and [staff](#) affirmed that revenues from students increased 43% since 2008, a direct inverse of the 43% reduction in state appropriations that results in Winthrop now being a tuition-driven institution.

Winthrop employs mitigating strategies focused on improving operational efficiency, sustaining effectiveness, emphasizing forward-thinking, and reshaping program offerings to remain current with education trends. Winthrop’s successful external reviews by regional and specialized program accreditation teams provide evidence of the University’s effectiveness in managing state appropriation fiscal losses. Inherent in all regional and specialized program accreditation reviews are standards related to adequacy of resources (fiscal, labor, physical facilities) to deliver higher education.

Nature and level of outside help it may need to mitigate such negative impact on the public
Three options for what the General Assembly could do to help resolve the issue before it became a crisis

Option One Restore the proportion of state appropriations to Winthrop University to levels before the 2008 recession began. [Winthrop has seen its appropriations from the state drop from \\$25.6 million in 2007-08 to \\$14.5 million in 2014-15](#). Restoring former state funding levels would enable Winthrop to minimize fiscal impact upon students relative to tuition, other fees, room, and board, thereby supporting Winthrop’s goals to increase access, degree attainment, and inclusive excellence in learning experiences for all students.

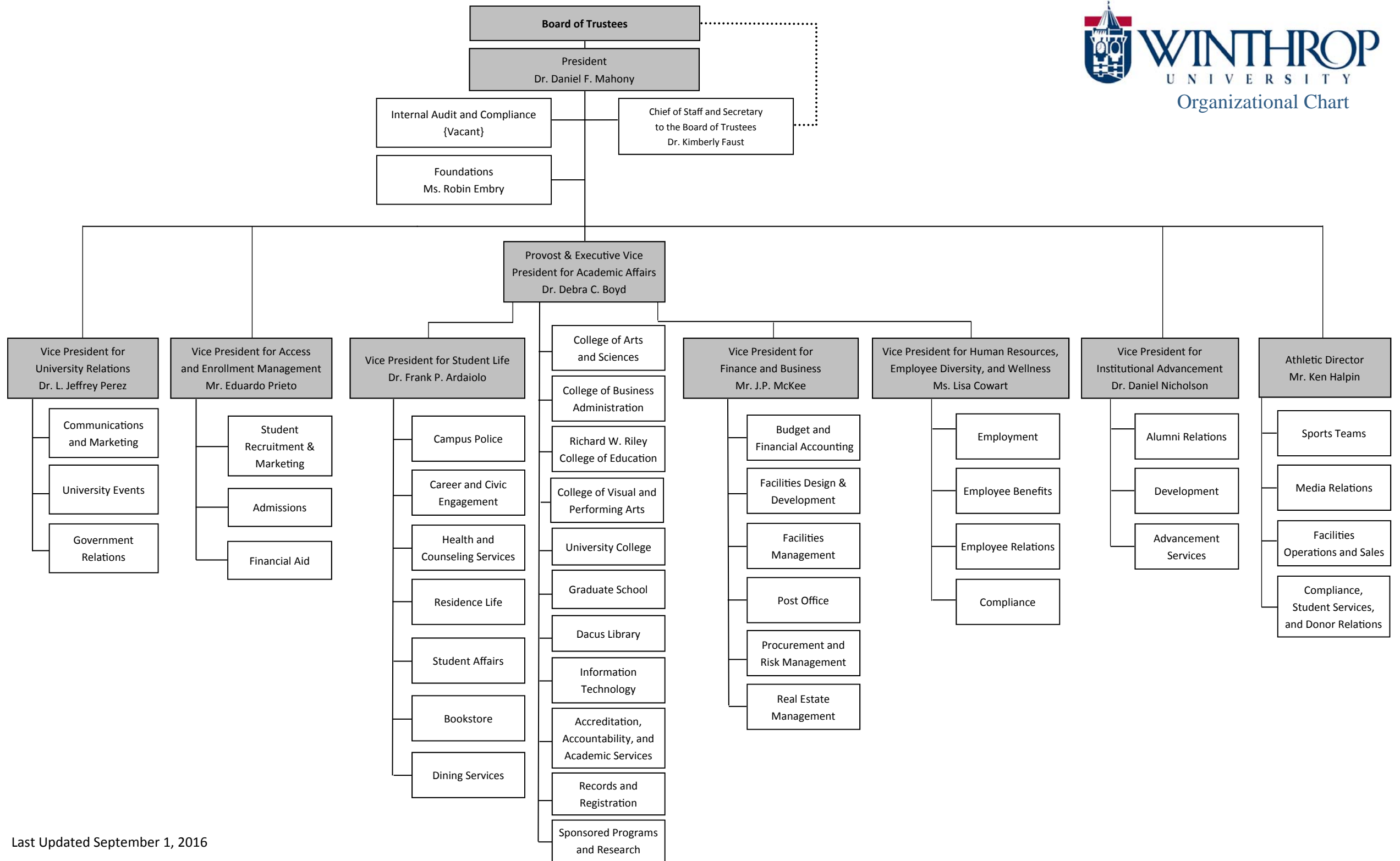
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Option Two Fully fund salary increases for state employees. Cost of living increases that are mandated by the General Assembly but not fully funded create significant challenges in balancing the institution’s budget.

Option Three Reduce institutional labor costs by eliminating reporting obligations that involve redundancy across state agencies.

Restructuring Recommendations: if the agency responded yes to the Restructuring Recommendation box on the Submission Form, list the recommendation(s) for internal or law changes and address the need or reason for the proposed restructuring, provide any data to support the agency’s reasoning and outline a plan to implement the structuring recommendation(s).

Winthrop responded *NO* to the Restructuring Recommendation box on the Submission Form.



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Strategic Planning Template

Type	Goal	Item # Strat	Object	Associated Enterprise Objective	Description
G	1			Education, Training, and Human Development	Promote access and degree attainment.
S		1.1			Increase enrollment while reflecting the University's mission.
O		1.1.1			<i>Focus the University's comprehensive recruitment and retention plans on reaching an enrollment target of 7,000 students by fall 2019.</i>
O		1.1.2			<i>Continue to accept all qualified South Carolina applicants in support of the state's goal to make SC one of the most educated states.</i>
O		1.1.3			<i>Diversify the domestic minority undergraduate student population to reflect changing population trends in the state and Southeast by fall 2019.</i>
O		1.1.4			<i>Expand the articulation and transfer Bridge Program with York Tech to include other select technical colleges in the region.</i>
S		1.2			Increase student retention
O		1.2.1			<i>Target an increased freshman-sophomore student retention rate range of 75-78% by fall 2019.</i>
O		1.2.2			<i>Monitor and target an undergraduate course completion rate (Success Rate) of at least 90%.</i>
S		1.3			Improve and accelerate degree attainment.
O		1.3.1			<i>Target a student four-year graduation rate of 40% by fall 2019.</i>
O		1.3.2			<i>Target a student five-year graduation rate of 55% by fall 2019.</i>
O		1.3.3			<i>Target a student six-year graduation rate of 60% by fall 2019.</i>
S		1.4			Mitigate financial barriers to higher education.
O		1.4.1			<i>Increase enrollment while maintaining 60% of undergraduate students' documented financial needs met.</i>
O		1.4.2			<i>Continue to serve a high number of Pell eligible students in order to support higher education access and attainment for South Carolinians.</i>
G	2			Education, Training, and Human Development	Continually enhance the quality of the Winthrop experience for all students.
S		2.1			Improve access to high impact educational practices associated with learning.
O		2.1.1			<i>Maintain a mission-appropriate institutional student/faculty ratio.</i>
O		2.1.2			<i>Define, identify, and increase the number of undergraduates who graduate with a formal hands-on learning experience.</i>
O		2.1.3			<i>Target a rate of 10% of all undergraduates who graduate with a study abroad experience by fall 2019.</i>
O		2.1.4			<i>Identify international exchange institutions and write a development plan that results in growing the number and quality of study abroad opportunities for Winthrop students.</i>
S		2.2			Deliver a mission-driven, market-smart, and cost-effective program mix at all levels.
O		2.2.1			<i>Conduct comprehensive program reviews of academic programs, student life services, and administrative units in order to continuously adapt to changes in the market, academic research, student support needs, and technology.</i>
O		2.2.2			<i>Expand online offerings, infrastructure, and resources to support mission.</i>
O		2.2.3			<i>Maintain unqualified regional accreditation from SACS COC.</i>
O		2.2.4			<i>Support implementation and assessment of Winthrop's Quality Enhancement Plan.</i>
S		2.3			Provide state-of-the-art facilities and infrastructure with appropriate technology to enhance academic and co-curricular learning and career preparation.
O		2.3.1			<i>Expand campus Wi-Fi coverage to enhance residential learning and to improve campus-wide access to online resources.</i>
O		2.3.2			<i>Implement an instructional equipment replacement plan for curricular, co-curricular, and extra-curricular programs.</i>
G	3			Government and Citizens	Recruit and retain highly qualified and productive faculty and staff by providing competitive compensation and a supportive work environment.
S		3.1			Foster a workplace culture characterized by communication, collaborative decision making, and civility.
O		3.1.1			<i>Evaluate and update as necessary the Training Guide for Faculty, developed to strategically match students with appropriate campus resources.</i>
O		3.1.2			<i>Support Staff Assembly by fostering staff participation, facilitating communication with senior leadership, and providing information as needed regarding Winthrop and state processes and procedures.</i>
S		3.2			Take deliberate action to improve compensation competitiveness.
O		3.2.1			<i>Establish a process to address salary concerns over a three year period to be realized by June 30, 2018.</i>
O		3.2.2			<i>Identify sources of funding to improve salaries.</i>
S		3.3			Invest in the professional development of faculty and staff.
O		3.3.1			<i>Fund and encourage effective professional development opportunities to optimize job growth, remain compliant with federal and state regulations, and follow industry best practices.</i>
O		3.3.2			<i>Revise the performance appraisal process for staff and administrators to include specific evaluation criteria that more directly relates to individual job duties and provides for employee participation.</i>
G	4			Public Infrastructure and Economic Development	Forge new and solidify existing government, organizational, and business partnerships that create mutual benefit.

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Strategic Planning Template

Type	Goal	Item # Strat	Object	Associated Enterprise Objective	Description
S		4.1			Identify and secure resources and support that enable our students to realize their potential and allow them to make a difference in the communities in which they live.
O		4.1.1			<i>Establish an annual forecast for financial support from university foundations by February 1 for the following fiscal year.</i>
O		4.1.2			<i>Implement annual joint meetings to deepen the communication between the Board of Trustees and the Foundation's Board of Directors.</i>
S		4.2			Collaborate with local and regional economic development agencies to address Winthrop's strategic priorities and fuel our state's and our nation's economic
O		4.2.1			<i>Continue to partner with Rock Hill Knowledge Park initiative to support Winthrop priorities.</i>
O		4.2.2			<i>Increase Winthrop's presence through participation with networks such as the York County Economic Development, the SC Chamber of Commerce, and others to inform the development of workforce training and programming for entrepreneurs.</i>

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Performance Measurement Template

Item	Performance Measure	Target Value	Actual Value	Future Target Value	Time Applicable	Data Source and Availability	Calculation Method	Associated Objective(s)
1	Total Headcount Enrollment	6000	6031	7000 by Fall 2019	Official fall enrollment census date: 10/9/15	Internal enrollment reports and Commission on Higher Education Management Information System (CHEMIS) enrollment file	Number of undergraduate and graduate students enrolled	1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.4.2
2	Percentage of UG students who are in-state	Maintain at least 80%	90.3%	Maintain at least 80%	Official fall enrollment census date: 10/9/15	Internal enrollment reports and Commission on Higher Education Management Information System (CHEMIS) enrollment file	Percentage of enrolled students whose geographic origin at the time of admission is South Carolina	1.1.2
3	Percentage of UG students who are Hispanic	3%	4.1%	7.5% by Fall 2019	Official fall enrollment census date: 10/9/15	Internal enrollment reports and Commission on Higher Education Management Information System (CHEMIS) enrollment file	Count of students who reported their ethnicity as Hispanic	1.1.3
4	One-year retention rate of first-time, full-time freshmen	73%	76.9%	Target a range of 75-78% by Fall 2019	10/1/2014-9/1/2015	Internal retention reports and Commission on Higher Education Management Information System (CHEMIS) enrollment file	Percentage of the Fall 2014 cohort of first-time, full-time freshmen who were enrolled as of the census date of Fall 2015	1.2.1
5	Overall Undergraduate Retention Rate	80%	82.6%	Maintain at least 80%	10/1/2014-9/1/2015	Internal retention reports and Commission on Higher Education Management Information System (CHEMIS) enrollment file	Percentage of students enrolled in Fall 2014 who returned in Fall 2015	1.1.1, 1.2.1, 1.2.2
6	Undergraduate course success rate	90%	90.3%	Maintain at least 90%	End of semester, Fall 2015	Internal end of semester course grade reports	Percentage of passing final grades earned by undergraduates enrolled in 100-500 level courses. [grades of N are counted as not successful]	1.2.2
7	Four-year graduation rate of first-time, full-time freshmen	35%	38.8%	40% by Fall 2019	Reported in spring each year cohort that entered 5 years before	Consortium for Student Retention Data Exchange (CSRDE) report	Percentage of 2010 Fall cohort who had graduated by Summer 2014	1.3.1

8	Five-year graduation rate of first-time, full-time freshmen	50%	55.6%	55% by Fall 2019	Reported in spring each year cohort that entered 6 years before	Consortium for Student Retention Data Exchange (CSRDE) report	Percentage of 2009 Fall cohort who had graduated by Summer 2014	1.3.2
9	Six-year graduation rate of first-time, full-time freshmen	55%	55.5%	60% by Fall 2019	Reported in spring each year cohort that entered 7 years before	Consortium for Student Retention Data Exchange (CSRDE) report	Percentage of 2008 Fall cohort who had graduated by Summer 2014	1.3.3
10	Percent of UG students' documented financial need met	55%	57%	Maintain at least 60%	Official fall enrollment census date: 10/9/15	Common Data Set	On average, the percentage of need that was met of students who were awarded any need-based aid	1.4.1
11	Percentage of students who are Pell eligible	40%	44%	Maintain/improve	Official fall enrollment census date: 10/9/15	Intergrated Postsecondary Education Data System (IPEDS)	Percentage of degree-seeking undergraduate students who are eligible to receive a Pell grant.	1.4.2
12	Student/faculty ratio	14 to 1	14 to 1	Maintain	Official fall enrollment census date: 10/9/15	Common Data Set	Fall ratio of full-time equivalent students (full-time plus 1/3 part-time) to full-time equivalent instructional faculty (full-time plus 1/3 part-time)	2.1.1, 2.1.2
13	Percent of UG students who graduate with a study abroad experience.	7%	8.9%	10% by Fall 2019	Official fall enrollment census date: 10/9/15	International Center reports	Percentage of undergraduates who graduated in prior December, May, and August and had Study Abroad indicator in Student Information System (SIS).	2.1.3, 2.1.4
14	Percentage of UG Credit Hour Production delivered by FT faculty	60%	64.3%	Maintain/improve	Official faculty reporting census date: 11/1/15	CHEMIS course files	For courses below the 600-level, percentage of total credit hour production taught by full-time instructional faculty.	2.1.1, 2.1.2
15	Percentage of FT faculty with terminal degree	80%	88.7%	Maintain/improve	Official faculty reporting census date: 11/1/15	CHEMIS faculty file	Percentage of full-time instructional faculty holding terminal degrees in their discipline.	2.1.1, 2.1.2, 3.3.1, 3.3.2

16	Average Salaries of FT Faculty	Begin the competitive compensation process to address salary concerns starting with adjustments in FY2015	Among the 12 SC public comprehensives, Winthrop ranks 6th in average faculty salary overall, 8th for professors, 6th for associate professors, 6th for assistant professors, and 11th for instructors	Continue the competitive compensation process to address salary concerns over a three year period to be realized by 2018.	Official faculty reporting census date: 11/1/15	CHEMIS	CHE publishes this data annually, based on faculty salary data submitted by each institution each fall.	3.2.1
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Agency Name: Winthrop University

Fiscal Year 2015-16
Accountability Report

Agency Code: H47 Section: 021

Program Template

Program/Title	Purpose	FY 2015-16 Expenditures (Actual)				FY 2016-17 Expenditures (Projected)				Associated Objective(s)
		General	Other	Federal	TOTAL	General	Other	Federal	TOTAL	
I. Education and General	Includes instruction, research, public service, academic support, student services, scholarships and fellowships, operation and maintenance of plant, Student Direct Lending, CERRA, and Teaching Fellows.	\$ 11,665,886	\$ 71,200,176	\$ 2,440,658	\$ 85,306,720	\$ 11,993,988	\$ 73,100,000	\$ 2,560,000	\$ 87,653,988	1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.2.1, 1.2.2, 1.3.1, 1.3.2, 1.3.3, 1.4.1, 1.4.2, 2.1.1, 2.1.2, 2.1.3, 2.1.4, 2.2.1, 2.2.2, 2.2.3, 2.2.4, 2.3.1, 2.3.2, 3.1.1, 3.1.2, 3.2.1, 3.2.2, 3.3.1, 3.3.2, 4.1.1, 4.1.2, 4.2.1, 4.2.2
II. Auxilliary Enterprise	Includes student housing, health center, cafeteria, bookstore and vending.		\$ 12,405,845		\$ 12,405,845		\$ 12,750,000		\$ 12,750,000	2.1.1, 2.1.2, 2.1.3, 2.1.4, 2.2.1, 2.2.2, 2.2.3, 2.2.4, 2.3.1, 2.3.2
III. Employee Benefits		\$ 3,273,704	\$ 14,420,873	\$ 301,582	\$ 17,996,159	\$ 3,273,704	\$ 15,600,000	\$ 325,000	\$ 19,198,704	3.1.1, 3.1.2, 3.2.1, 3.2.2, 3.3.1, 3.3.2

Agency Name: Winthrop University

Fiscal Year 2015-16
Accountability Report

Agency Code: H47 Section: 021

Legal Standards Template

Item #	Law Number	Jurisdiction	Type of Law	Statuary Requirement and/or Authority Granted	Associated Program(s)
1	59-125	State	Statute	Authorizing legislation for Winthrop University. Establishes the University as an official public institution in the state of South Carolina and sets forth guidelines regarding the composition and operation of the Board of Trustees and operating guidelines for the institution.	all
2	59-103	State	Statute	Authorizing legislation for Commission on Higher Education. Winthrop University reports annually to the CHE in order to help CHE meet its mission as established in this statute and to fulfill Winthrop University's reporting requirements as a public institution of higher education within the state of South Carolina.	all
3	59-103-35	State	Statute	Subclause in CHE authorizing legislation which stipulates that all colleges and universities are required to submit an annual budget to CHE for review.	all
4	59-103-36	State	Statute	Subclause in CHE authorizing legislation which stipulates that military students must be included in the FTE count of students when reporting headcount for appropriation purposes.	Academic Affairs
5	59-103-30	State	Statute	Subclause in CHE authorizing legislation which stipulates that colleges and universities "must emphasize teaching as a career opportunity" and provide opportunities for students interested in entering the teaching profession to tutor other students at their institution.	Academic Affairs
6	59-103-160	State	Statute	Subclause in CHE authorizing legislation commonly known as English Fluency in Higher Learning Act. Law stipulates that all state-funded institutions will make sure that all faculty who speak English as a second language demonstrate an "adequate proficiency in both written and spoken English language" and allow students to report grievances about an instructor who is unable to do so. Any grievances must be reported annually to CHE.	Academic Affairs
7	59-104	State	Statute	Initiatives for Research and Academic Excellence. Sets forth admissions standards by which public institutions, such as Winthrop, must abide. Establishes the Palmetto Fellows Scholarship Program and other programs and awards which relate to Higher Education, many of which Winthrop participates in. Outlines assessment guidelines to assist in statewide planning in regards to higher education and specifically mandates that "state-supported institutions establish procedures and programs to measure student achievement," which Winthrop meets via reporting and assessment conducted by its offices of Accreditation, Accountability, and Academic Services and Assessment.	Academic Affairs, Access and Enrollment Management
8	59-107	State	Statute	State Institution Bonds. Includes Winthrop University among a list of other state-supported institutions of higher learning which are set forth guidelines regarding the financial operations of the University including process for setting tuition fees and how those funds may be subsequently used in accordance with the law. This law also outlines the process for state institutions to apply for bonds as necessary.	all
9	59-101	State	Statute	Colleges and Institutions of Higher Learning Generally. Establishes the designation of state colleges and universities and sets forth various operating requirements.	all
10	59-105	State	Statute	South Carolina Campus Sexual Assault Information Act. Mandates the development of "a comprehensive sexual assault policy to address prevention and awareness of sexual assault and to establish procedures that address campus sexual assaults."	Academic Affairs
11	59-106	State	Statute	South Carolina Campus Sex Crimes Prevention Act. Requires state-funded institutions to provide an annual security report that contains information related to registered sex offenders.	Academic Affairs
12	59-111	State	Statute	Scholarships. Establishes scholarships, tuition waivers, and other forms of financial assistance for defined populations.	Access and Enrollment Management
13	59-112	State	Statute	Determination of Rates of Tuition and Fees. Establishes tuition guidelines. Includes outlining eligibility for reduced tuition for various populations, including in-state students.	Academic Affairs
14	59-114	State	Statute	South Carolina National Guard College Assistance Program Act. Establishes college assistance program for qualifying members of the National Guard.	Access and Enrollment Management
15	59-115	State	Statute	The State Education Assistance Act. Establishes the State Education Assistance Authority, which oversees state-backed student loans.	Access and Enrollment Management

16	59-116	State	Statute	Campus Security Department. Grants the Board of Trustees of each institution of higher learning the authority "to establish a safety and security department and appoint and employ campus police officers to carry out the functions of the department." This law also outlines the powers and functions of campus police departments and individuals who may be employed by those departments.	Academic Affairs
17	59-118	State	Statute	South Carolina Academic Endowment Incentive Act of 1997. Purpose of the act is, in part, to "enhance statewide economic development through initiatives in higher education," by providing investment incentives for the creation of endowments to support pedagogical activities in South Carolina's public colleges and universities.	all
18	59-147	State	Statute	Higher Education Revenue Bond Act. This mandate provides SC institutions of higher learning with the power, with the permission of the State Fiscal Accountability Authority, to "issue revenue bonds of the university for the purpose of financing or refinancing in whole or in part the cost of acquisition, construction, reconstruction, renovation and improvement of land, buildings, and other improvements for real property and equipment for the purpose of providing facilities serving the needs of the university..."	all
19	59-149	State	Statute	Legislative Incentives for Future Excellence (LIFE) Scholarships. Program applies to all public colleges and universities in South Carolina, including Winthrop University.	Access and Enrollment Management
20	59-150	State	Statute	South Carolina Education Lottery Act which creates scholarship opportunities for SC residents who qualify.	Access and Enrollment Management
21	59-143	State	Statute	Establishment of Children's Education Endowment. Established the Palmetto Fellows Scholarship program and Need-based Grants.	Access and Enrollment Management
22	59-142	State	Statute	Students First Financial Resources for Scholarships and Tuition. Establishes need-based grant funding for public institutions.	Access and Enrollment Management
23	59-26	State	Statute	Training, Certification, and Evaluation of Public Educators. Mandate to "adopt program approval standards so that all colleges and universities [in South Carolina] that offer undergraduate degrees in education shall require that students successfully complete the basic skills examination that is developed..." as a result of this law. Standardizes teacher education and training across state-funded institutions like Winthrop who offer degrees in Education.	Academic Affairs
24	2-47	State	Statute	Joint Bond Review Committee. Mandates that all state-funded institutions of higher learning, including Winthrop, "submit permanent improvement project proposals and justification statements to the authority, through the Commission on Higher Education..."	all
25	2-77	State	Statute	South Carolina Higher Education Excellence Enhancement Program. This law is aimed at making higher education more accessible for "low-income and educationally disadvantaged students" by offering "public educational assistance" from funds raised via the SC Education Lottery to institutions who meet the listed requirements. The Commission on Higher Education, to whom Winthrop reports, is responsible for administering this program.	Access and Enrollment Management
26	13-70	State	Statute	Establishes South Carolina Research Authority (SCRA). One of the main objectives of SCRA is to create opportunities for private funding support for SC-based institutions of higher learning by "promoting cooperative research efforts between the private sector and SC universities and colleges."	all
27	20 U.S.C. Section 1011F	Federal	Statute	Education Amendments of 1972, Title IX (Employment). Also known as the Higher Education Opportunity Act, this law stipulates that all colleges and universities are required to "file a disclosure report about ownership or control by, or contracts with or gifts from foreign sources." This disclosure must be filed with DOE when they exceed \$250,000 in a given year.	all
28	20 U.S.C. Section 1092g	Federal	Statute	Equity in Athletics Disclosure Act of 1992 (Title 4). Requires that every co-ed institution "that participates in Title IV programs, and has an intercollegiate athletic program, must no later than Oct. 15th of each year, make available on request to enrolled students, prospective students, and the public, the report required to be produced under this law." This report must also be submitted to the Secretary of Education by October 30th. Also requires co-educational institutions of postsecondary education that participate in a Title IV federal student financial assistance program and have an intercollegiate athletic program to prepare an annual report to the Department of Education on athletic participation, staffing, and revenues and expenses, by men's and women's teams.	Athletics

29	20 U.S.C. Section 1232g	Federal	Statute	Family Educational Rights and Privacy Act of 1974 (FERPA). Requires that institutions annually inform currently enrolled students of their rights under FERPA. It is suggested that this is done during fall registration so that students have the opportunity to edit or put a hold on their directory information as desired before it is published.	all
30	20 U.S.C. Section 1092 (a) and 1094	Federal	Statute	General Education Provisions Act. Under this law, all institutions are required to "publish and make readily available to current and prospective students information on the entire Federal, State, local, private, and institutional financial assistance programs available to students who enroll at the institution."	Access and Enrollment Management
31	42 U.S.C. Sections 6101-6107	Federal	Statute	Age Discrimination Act of 1975. Prohibits discrimination based on age in educational or academic programs or activities that receive federal financial assistance. Also prohibits retaliation for those who file a complaint. Also prohibits discrimination based on age in the admission of educational and/or academic programs or activities that receive federal financial assistance.	all
32	42 U.S.C. Sections 12101-12213	Federal	Statute	Americans with Disabilities Act. Provides broad nondiscrimination protection in employment, public services, and public accommodations (which includes colleges and universities) for people with disabilities. Requires reasonable accommodations to allow a qualified person with a disability to participate fully in the educational or academic programs of the university.	all
33	20 U.S.C. Section 1099b; Public Law 110-315	Federal	Statute	Higher Education Opportunity Act. Require universities to make specific disclosures to students including: transfer of credit policies, diversity statistics, retention rates, employment placement data, fire safety report, the course schedule and the ISBN for every required and recommended textbook and supplemental material and retail price information. This also applies for internet based courses (Section 112). The law also mandates that the bookstore operated by or affiliated with the school or the institution itself must make available as soon as possible the most accurate information regarding the school's course schedule, information for required and recommended textbooks and supplemental materials, the number of students enrolled in the each course and the maximum student enrollment for each course. Encourages institutions to make information available to students regarding book rentals, used textbooks, buyback programs, and alternative delivery programs or other cost saving strategies. Also requires that each institution disclose information about any plans to improve the academic program to current and prospective students on an annual basis. Provides to institutions of higher education an adequate opportunity to review and respond to any program review report and relevant materials related to the report before any final program review report is issued. Requires institutions to set goals for preparing teachers in shortage areas including math, science, special education and ELL. Requires that universities report annually to their state government and the public the pass rate on state teacher certification examinations taken by their graduates by April 1 of each year. Section 495 of this law also mandates that the institution be accredited by a recognized accreditation body and must make available to prospective and enrolled students the names of associations, agencies, or governmental bodies that accredit, approve, or license the schools and its programs; and procedures for obtaining or reviewing documents describing accreditation, approval, or licensing. Section 488 requires institutions to provide each student, upon their enrollment, with a "separate, clear, and conspicuous written notice" that provides information on the penalties associated with drug-related offenses. Section 484C requires that the University readmit students who left in order to join the military under the same academic status. Section 107 requires institutions to determine the number of drug and alcohol-related violations and fatalities that have occurred on the institution's campus or as part of its activities during the institution's biennial review. Section 488 requires institutions to notify the campus community in the event of a significant emergency and to publish the procedures to immediately notify the campus community upon the confirmation of a significant emergency or dangerous situation. Also requires institutions to publicly report an annual fire safety report. Additionally, this law requires institutions to implement procedures for managing reports of missing persons and notify students who live on campus of the situation. Section 493 mandates that when requested institutions must disclose to the alleged victim of any violent crime or non-forcible sex offense and the final results of any institutional disciplinary proceeding conducted against the alleged perpetrator of such crime or offense. Section 485 requires the university to have security policies that encourage accurate and prompt reporting of crimes to campus police and law enforcement agencies which include procedures for immediate notification of emergencies to the the campus community. The institution must publish these procedures annually in a manner that is designed to reach students and staff, and must also test annually conduct and document emergency response testing. Sections 152 and 153 require the following disclosures to enrolled students: . . . d) preferred lending arrangements; e) via accurate/understandable written or electronic means, the following private loan terms and conditions - interest, range of interest rates, interest adjustments, finance charges, fees and penalties, forbearance, deferral options, self-certification requirements, and a phone number or web address for additional information; . . . k) written notice regarding penalties for drug violations vis-a-vis financial aid eligibility, and if convicted timely written notice of ways to regain eligibility must be given. Disclosures c) - k) must be available to prospective students as well. Section 493 mandates that a school have a code of conduct and requires that officers, employees, and agents of institutions that have loan responsibilities are informed annually about the institution's code of conduct. The University must develop a Code of Conduct for financial aid practices that prohibits conflicts of interest, and is published prominently on the University's website and distributed annually to relevant personnel. Section 111: Within two years of the Ed net calculator, schools that receive Title IV funds will be required to publicly share a net price calculator to help current and prospective students estimate their individual net price at that school as well as other financial aid information. Effective July 1, 2011, if the University institutes a large percentage increase in tuition and fees or net price, a report must be submitted to the Department of Education providing the reason for the increase and the steps that will be taken to reduce cost. Section 488 requires exit counseling to borrowers by institutions to include information on repayment plans, debt management, and forbearance programs, among other specific information. requires institutions to provide comprehensive information on the terms and conditions of loans and borrowers' responsibilities prior to loan disbursement to a first-time borrower. Information shall be provided in simple and understandable terms and may be provided during an entrance counseling session conducted in person; on a separate written form provided to the borrower that the borrower signs and returns to the institution of higher education; or, online, with the borrower acknowledging receipt of the information. Institutions of higher education are encouraged to provide entrance counseling through interactive programs that test borrowers' understanding of the terms and conditions of their loans. Effective August 14, 2008, the University must disclose publicly in a readable and comprehensible manner its transfer of credit policy, which must include criteria regarding transfer of credit and a list of institutions with which it has established an articulation agreement. Section 493 mandates schools have a code of conduct and requires that officers, employees, and agents of institutions that have loan responsibilities are informed annually about the institution's code of conduct. Section 488 requires institutions to develop plans to detect and prevent unauthorized distribution of copyrighted material on information technology systems, including offering alternatives to illegal-downloading or peer-to-peer distribution of intellectual property.	all
34	Section 504 of The Rehabilitation Act of 1973	Federal	Statute	Prohibits discrimination on the basis of disability at any federally-funded institution. This covers admissions, recruitment, educational and/or academic programs and services. Existing facilities can be made compliant through modification, moving classes or other services to more accessible locations, assignment of aids, or other measures. Newly constructed facilities must be readily accessible to persons with disabilities. Each facility or part of a facility which is altered in a manner that affects or could affect the usability of the facility or part of the facility shall, to the maximum extent feasible, be altered in such manner that the altered portion of the facility is readily accessible to and usable by persons with disabilities.	all
35	20 U.S.C. Sections 1681-1688	Federal	Statute	Title IX of the Education Amendment of 1972. Prohibits discrimination on the basis of sex in education programs or activities receiving federal financial assistance including employment. Any grievance records relating to a Title IX violation or complaint must be retained for the period of time cited in state law for personal injury actions. Also prohibits discrimination on the basis of sex in the admission of education programs or activities receiving federal financial assistance. Also states that no person shall on the basis of sex, be excluded from participation in, be denied the benefits of, or otherwise be discriminated against in any interscholastic, intercollegiate, club or intramural athletics offered by an institution. When a recipient provides financial assistance to any student participating in an educational program or activity, the recipient must ensure that it does not provide different types or amounts of assistance, limit eligibility for such assistance, apply different criteria, or otherwise discriminate in the provision of financial assistance on the basis of sex.	all
36	42 U.S.C. Sections 2000d-2000d-7	Federal	Statute	Title VI of the Civil Rights Act of 1964. Prohibits discrimination based on race, color, or national origin in educational and/or academic programs or activities receiving federal financial assistance. Also prohibits discrimination based on race, color, or national origin in the admission of educational and/or academic programs or activities receiving federal financial assistance.	all

37	26 U.S.C. Section 6050S	Federal	Statute	Qualified Tuition and Student Loan Interest Reporting. Institutions must report qualified tuition and related expenses and student loan interest to the IRS. Institutions must also provide payors with a statement that includes the tax information furnished to the IRS.	Access and Enrollment Management
38	15 U.S.C. Sections 1-7	Federal	Statute	Sherman Antitrust Act. This law has been applied to colleges and universities in a number of instances regarding purchases. The Department of Justice interpreted this law to mean that financial aid awards must be established independently and not in concert with other institutions. Also applies to items in a bookstore based on collaboration with a wholesaler or another retailer.	Academic Affairs and Access and Enrollment Management
39	42 U.S.C. Sections 301-1397mm	Federal	Statute	Social Security Act. An employer must pay social security taxes on employees but an exemption exists for most students also working for the university, and for clergy whose services are performed in the exercise of their ministry.	Academic Affairs
40	15 U.S.C. Sections 1601-1693r	Federal	Statute	Truth in Lending Act. Requires disclosure statements for loans and credit plans, but exempts Perkins Loans and Federal Family Education Loans.	Access and Enrollment Management
41	Public Law No. 106-386	Federal	Statute	Campus Sex Crimes Prevention Act (Title VI). Requires registered sex offenders to provide notice of enrollment or employment at any institution of higher education in that state where the offender resides, as well as notice of each change of enrollment or employment status at the institution.	Academic Affairs
42	20 U.S.C. Section 1011i	Federal	Statute	Drug Free Schools and Communities Act. Requires distribution of the institution's drug and alcohol prevention and policy information every year and a biennial review of the drug and alcohol prevention program.	Academic Affairs
43	42 U.S.C. Sections 11001-11050	Federal	Statute	Emergency Planning and Community Right to Know Act (EPCRA). Requires the establishment of state emergency response systems which are responsible for coordinating certain emergency response activities and for appointing local emergency planning committees.	Academic Affairs
44	20 U.S.C. Section 1092(f)	Federal	Statute	Jeanne Clery Disclosure of Campus Security Policy and Campus Statistics Act (Clery Act) and Violence Against Women Act. Any institution that participates in federal financial aid programs must collect information with respect to campus crime statistics and campus security policies of the institution. The institution must annually distribute an annual security report to current students and employees, and, upon request, to prospective students or employees.	Academic Affairs
45	29 U.S.C. Sections 651-678	Federal	Statute	Occupational Safety and Health act of 1970. The University must have a written emergency action plan kept in the workplace and available for employee review upon request.	all
46	41 U.S.C. Sections 8701-8707	Federal	Statute	Anti-Kickback Act of 1986. Prohibits any payment or gratuity made for the purpose of inducing award of a subcontract or prime contract with the federal government.	all
47	31 U.S.C. Section 1352	Federal	Statute	Byrd Amendment. Prohibits grantees from lobbying with federal funds. Requires disclosure of lobbying activities when receiving federal contracts, grants, loans, or cooperative agreements.	all
48	18 U.S.C. Section 874, 40 U.S.C. Section 3145	Federal	Statute	Copeland Anti-Kickback Act. Requires contractors and subcontractors on public buildings or works financed by loans or grants from the US to furnish a weekly statement of wages paid.	all
49	Executive Order 1289	Federal	Statute	E-Verify. For federal contracts of more than \$100,000 and subcontracts greater than \$3,000, the University must utilize the E-Verify electronic system to confirm the employees working on those contracts/subcontracts are lawfully eligible to work in the US.	all
50	Executive Order 13665	Federal	Statute	Non-Retaliation for Disclosure of Compensation Information. Federal contractors and subcontractors may not fire or otherwise discriminate against any employee or applicant for discussing, disclosing, or inquiring about his or her compensation or that of another employee or applicant.	all
51	17 U.S.C. Sections 101-1332	Federal	Statute	Copyright Act. Protects the rights of authors from unauthorized reproduction/adaptation/performance/display/distribution of protected works of authorship, including computer software, books, journals etc. Software licenses required. Includes an exception for "fair use" in criticism, comment, teaching, scholarship and research.	all
52	Public Law No. 105-298	Federal	Statute	Copyright Term Extension Act. Extends by 20 years the length of protection afforded to copyrighted works, and thus lengthens the amount of time it will take for a work to enter the public domain. For copyrights in their renewal term at the time of the effective date of this new law, the term of copyright is extended to 95 years from the date the copyright was originally secured. For works created but not published or registered before January 1, 1978, the term endures for life of the author plus 70 years, but in no case will expire earlier than December 31, 2002. If the work is published before December 31, 2002, the term will not expire before December 31, 2047. Includes an exception that allows libraries, archives and nonprofit educational institutions to treat a copyrighted work in the last 20 years of protection as if it were in the public domain for purposes of preservation, scholarship or research. Conditions that apply to this usage in the last 20 years require a good faith investigation to determine that the work is not subject to normal commercial exploitation, the work or phone record cannot be obtained at a reasonable price, and use of the work stops if the copyright owner provides notice to the contrary.	all

53	Public Law No. 103-304	Federal	Statute	Digital Millennium Copyright Act (DMCA). Imposes rules prohibiting the circumvention of technological protection measures. Sets limitations on copyright infringement liability for online service providers (OSPs). Expands an existing exemption for making copies of computer programs. Provides a significant updating of the rules and procedures regarding archival preservation.	all
54	Public Law No. 110-315	Federal	Statute	Higher Education Opportunity Act. Sections 152 and 153 require the following disclosures to enrolled students: a) Policies/sanctions for copyright infringement; and b) annual disclosure detailing federal copyright penalties	Academic Affairs
55	15 U.S.C. Sections 1051-1141n	Federal	Statute	Lanham Act. Prohibits trademark infringement, trademark dilution, and false advertising.	University Relations
56	Public Law No. 107-273	Federal	Statute	Technology Education and Copyright Harmonization Act (TEACH ACT) of 2002. Permits an instructor to display virtually all types of works during on-line instruction at accredited nonprofit educational institutions without consent of copyright owner, provided that instruction is mediated by an instructor, transmission is intended only for students enrolled in course, and measures are employed to prevent redistribution of transmission and prevent its retention for longer than the class session.	Academic Affairs
57	Public Law 103-3	Federal	Statute	The Family Medical Leave Act of 1993. Entitles eligible employees of covered employers to take unpaid, job-protected leave for specified family and medical reasons with continuation of group health insurance coverage under the same terms and conditions as if the employee had not taken leave. Provides covered employees with certain rights to reinstatement of employment after taking FMLA leave.	Academic Affairs
58	Executive Order 11246	Federal	Statute	Affirmative Action/Equal Employment Opportunity. Affirmative action must be taken by covered employers to recruit and advance qualified minorities, women, persons with disabilities, and covered veterans.	Academic Affairs
59	29 U.S.C. Sections 621-634	Federal	Statute	Age Discrimination Employment Act of 1967. It is unlawful for the University to fail to hire, discharge, segregate, classify, or otherwise discriminate against any individual with respect to compensation, terms, conditions or privileges of employment because of age.	Academic Affairs
60	38 U.S.C. 4211-4215	Federal	Statute	Equal Employment of Veterans. For federal subcontracts of \$100,000 or more the University shall include in each of its subcontracts a clause that the subcontractor will not discriminate against any employee or applicant for employment because he or she is a special disabled veteran, veteran of the Vietnam era, recently separated veteran, or other protected veteran in regard to any position for which the employee or applicant for employment is qualified. The university must agree to take affirmative action to employ and advance qualified individuals without discrimination based on such status	Academic Affairs
61	29 U.S.C. Section 206(d)	Federal	Statute	Equal Pay Act of 1963. Prohibits sex-based wage discrimination between men and women in the same establishment who perform jobs that require substantially equal skill, effort and responsibility under similar working conditions.	Academic Affairs
62	Public Law No. 110-233	Federal	Statute	Genetic Information Act of 2008. Prohibits use of genetic information in employment decision-making. Requires that genetic information be maintained as a confidential medical record, and places strict limits on disclosure of genetic information.	Academic Affairs
63	8 U.S.C. Sections 1101-1106	Federal	Statute	Immigration and Nationality Act. The INA, as amended, sets forth the laws governing the admission and employment of foreign nationals in the United States, including provisions that address employment eligibility and employment verification.	Academic Affairs
64	Public Law No. 111-2	Federal	Statute	Lilly Ledbetter Fair Pay Act of 2009. An individual subjected to compensation discrimination under Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, or the Americans with Disabilities Act of 1990 may file a charge within 180 (or 300) days of any of the following: 1) when a discriminatory compensation decision or other discriminatory practice affecting compensation is adopted; 2) when the individual becomes subject to a discriminatory compensation decision or other discriminatory practice affecting compensation; or 3) when the individual's compensation is affected by the application of a discriminatory compensation decision or other discriminatory practice, including each time the individual receives compensation that is based in whole or part on such compensation decision or other practice.	Academic Affairs
65	42 U.S.C. 2000d-7	Federal	Statute	Title VII of the Civil Rights Act of 1964. Title VII prohibits discrimination in hiring, firing, training, promotion, discipline, or other workplace decisions on the basis of an employee or applicant's race, color, sex, national origin, or religion. Sexual harassment is also prohibited under this law. Prohibits discrimination on the basis of pregnancy, childbirth, or related illness in employment opportunities, health or disability insurance programs, or sick leave plans.	all

66	38 U.S.C. 4301-4335	Federal	Statute	Uniformed Services Employment and Reemployment Rights Act (USERRA). Seeks to ensure that members of the uniformed services are entitled to return to their civilian employment upon completion of their service. Qualified employees must be reinstated with the seniority, status, and rate of pay they would have obtained had they remained continuously employed by their civilian employer. The law also protects individuals from discrimination in hiring, promotion, and retention on the basis of present and future membership in the armed services.	Academic Affairs
67	15 U.S.C. Section 2651	Federal	Statute	Asbestos Hazard Emergency Response Act. To prevent exposure to asbestos in school buildings, AHERA requires that all public and non-profit schools inspect each school building for asbestos-containing building material and prepare an asbestos management plan to prevent disturbance of asbestos.	Academic Affairs
68	Executive Order 13563 and 12866	Federal	Statute	Chemical Facility Anti-Terrorism Standards. This rule establishes risk-based performance standards for the security of the nation's chemical facilities. It requires covered chemical facilities to prepare Security Vulnerability Assessments, which identify facility security vulnerabilities, and to develop and implement Site Security Plans, which include measures that satisfy the identified risk-based performance standards.	Academic Affairs
69	42 U.S.C. 7401-7671q	Federal	Statute	Clean Air Act. Regulates air emissions from stationary and mobile sources. Requires annual fees to be paid based upon total tons of actual emissions of each regulated pollutant.	Academic Affairs
70	33 U.S.C. 1251-1387	Federal	Statute	Clean Water Act. Establishes the basic structure for regulating discharges of pollutants into the waters of the United States and regulating quality standards for surface waters. Facilities are governed by local wastewater pretreatment standards issued by local wastewater treatment plants. Requires waste water permits and reporting quarterly.	Academic Affairs
71	29 C.F.R. Section 1910.243	Federal	Statute	Guarding and Use of Hand and Portable Powered Tools. The University is responsible for the safe condition and guarding of portable powered tools/equipment (ex: saws/drills/drivers/sanders/grinders/ pneumatic tools/explosive fasteners, etc.) including tools furnished by employees.	Academic Affairs
72	Public Law No. 110-161	Federal	Statute	Mandatory Reporting of Greenhouse Gases. Effective December 29, 2009, and implemented under the Environmental Protection Agency's (EPA) powers under the Clean Air Act, the rule requires that the University submit an annual report on the University's greenhouse gas emissions. Gases covered by the rule include carbon dioxide (CO2), methane (CH4), nitrous oxide (N2O), hydro fluorocarbons (HFC), per fluorocarbons (PFC), sulfur hexafluoride (SF6) and other fluorinated gases and hydro fluorinated ethers.	Academic Affairs
73	49 U.S.C. Sections 13101-14916	Federal	Statute	Motor Carrier Act of 1980. Institutions are liable for any pollution-related incident that occurs during the transportation of hazardous material.	Academic Affairs
74	33 U.S.C. 2701-2762	Federal	Statute	Oil Pollution Act. Regulation requires container inspection and integrity, testing, recordkeeping, annual training for employees who handle oil, and annual discharge prevention briefings.	Academic Affairs
75	29 U.S.C. 651-678	Federal	Statute	OSHA. Requires employers to train employees on hazards in the workplace, to provide information to employees, to report occupational injuries and illnesses to the federal government, and to keep records of same, and to provide controls and protective equipment as well.	Academic Affairs
76	29 C.F.R. Section 1926.1101	Federal	Statute	OSHA Asbestors in Construction Standard. Applies to construction only. No employee may be exposed to an airborne concentration of asbestos in excess of 0.1 fiber per cubic cm of air as an 8 hour time-weighted average. The University must use enumerated safety procedures, monitor subject areas and notify potentially affected employees of results within five days.	Academic Affairs
77	29 C.F.R. Section 1910.1001	Federal	Statute	OSHA General Industry Standard. The University must ensure that no employee is exposed to an airborne concentration of asbestos in excess of 0.1 fiber per cubic centimeter of air as an eight hour time-weighted average. Applies to occupational exposure other than construction. The University must perform initial monitoring where employees are or may reasonably be expected to be exposed at or above the exposure limit, and must promptly notify such employees of the results within 15 working days. Required, repeated monitoring depends on the initial results. Additional safety and compliance procedures are required.	Academic Affairs
78	29 C.F.R. Section 1910.132	Federal	Statute	OSHA Enforcement Guidance for Personal Protective Equipment (PPE) in General Industry. OSHA requires the use of Personal Protective Equipment (PPE) to reduce employee exposure to hazards when engineering and administrative controls are not feasible or effective in reducing these exposures to acceptable levels. The new guidance, effective February 10, 2011, clarifies what type of PPE employers must provide at no cost to workers and when employers are required to pay for PPE.	Academic Affairs
79	29 C.F.R. Section 1926.62	Federal	Statute	OSHA Lead in Construction Standard. Applies to exposure to lead during construction only. The University must conduct lead exposure assessments for construction jobs (alternation, repair, demolition, painting, decorating) with possible exposure to lead to determine if exposure threshold met (i.e. > 50 micrograms concentration per cubic meter of air averaged over an 8 hours). If threshold met, the University must notify affected employee, institute engineering and work practice controls to reduce exposure to permissible levels, and conduct repeat monitoring. Also applies to contractors.	Academic Affairs

80	29 C.F.R. Section 1910.1025	Federal	Statute	OSHA Lead in General Industry Standard. Applies to occupational exposure to lead by employees in non-construction setting. The University must ensure no employee is exposed to > 50 micrograms lead concentration per cubic meter of air averaged over an 8 hours. Where there is potential exposure, the University must make a determination as to whether employees are so exposed, and if so must notify the employee, institute corrective action via engineering and work practice controls, and repeat monitoring activities.	Academic Affairs
81	29 C.F.R. Section 1910.251	Federal	Statute	OSHA Welding, Cutting, and Brazing. Before cutting/welding can be permitted, the area must be inspected by the individual responsible for authorizing cutting/welding operations, and who must designate precautions to be followed in granting authorization, preferably in the form of a written permit. Cutting/welding shall be permitted only in areas that are or have been made fire safe, and appropriate PPE and clothing based on the type of work performed must be used. (Note: Per OSHA, to minimize carbon monoxide hazard, maintain 3-4 feet of clear ventilation space around generators).	Academic Affairs
82	29 C.F.R. 1910.1200	Federal	Statute	OSHA's Hazard Communication Standard. To comply with employees' right to know about the hazards associated with materials/substances they use on the job, the University must compile and maintain chemical inventories, and make Material Safety Data Sheets readily available upon employee request.	Academic Affairs
83	18 U.S.C. 175b	Federal	Statute	The Public Health Security and Bioterrorism Preparedness and Response Act. All colleges and universities that possess select agents, which are certain biological agents and toxins, need to register with the Secretary of the U.S. Department of Health and Human Services. Requires prompt notification of the release of a select agent outside of the biocontainment area, or of theft or loss of a select agent. The university must also deny access to the agents/toxins by restricted persons. Universities must keep comprehensive inventories of select agents and must submit the names and other identifying information for individuals who the university determines have a legitimate need to handle or use the toxins.	Academic Affairs
84	15 U.S.C. 2601-2629	Federal	Statute	Toxic Substances Control Act. Regulates the use and disposal of certain chemicals, including PCBs used in electrical transformers. Must comply with regulations concerning use, service, storage, and disposal of transformers containing PCBs. The Act requires the identification, inventory, marking and quarterly inspection of PCB transformers.	Academic Affairs
85	20 U.S.C. Section 1094; 110-315	Federal	Statute	Higher Education Opportunity Act of 2008. An institution may participate in any Title IV, HEA program (other than the LEAP and NEISF programs) only if the institution enters into a written program participation agreement with the Secretary, on a form approved by the Secretary. The required written program participation agreement requires that the University: 1) Maintain administrative and fiscal procedures for proper and efficient administration of program funds; 2) demonstrate financial responsibility and administrative capability; and 3) certify that it has a drug abuse prevention program available to everyone, a campus security policy, and that it is in compliance with athletic program participation rate and financial support data disclosures. Under the written program participation agreement the University is prohibited from engaging in the following activities: 1) Charging students fees for processing program eligibility applications, forms or data; 2) knowingly employing or contracting with individuals or entities in any capacity involving administration of HEA programs if they have been found to have committed fraud or other violations involving federal/state/local funds; 3) penalizing or denying students access because of inability to meet financial obligations resulting from delays in disbursement due to program compliance requirements or institutional delays; and 4) providing a commission/bonus to any person or entity engaged in any student recruiting, admission activities, or award decision-making based on success in securing enrollments or financial aid. Use of a third party servicer does not relieve the University of the compliance requirements under this part. The institution must publish and make readily available to current and prospective students information on the entire Federal, State, local, private and institutional financial assistance programs available to students who enroll at the institution. September 1st is suggested as a deadline. Also mandates that the University must at least annually have an independent auditor (independent certified public accountant or a government auditor) conduct a compliance audit of its administration of that program and an audit of the institution's general purpose financial statements. An audit conducted in accordance with the Office of Management and Budget's Uniform Guidance satisfies this requirement. The audit must cover all Title IV, HEA program transactions. The compliance audit and audited financial statements must be submitted to the Secretary no later than six months after the last day of the institution's fiscal year. Also requires that the University maintain any application for Title IV, HEA program funds and program records that document: 1) Its eligibility to participate and eligibility of its programs to receive funds; 2) its administration of the HEA programs per applicable requirements; 3) its financial responsibility; 4) information included in any application for program funds; and 5) its disbursement and delivery of program funds. The University must maintain the following financial information: 1) The Student Aid Report (SAR) or Institutional Student Information Record (ISIR); 2) application data submitted on behalf of the student or parent; 3) documentation of each student's or parent borrower's eligibility for and receipt of program funds and loan detail; 4) documentation of and information collected at initial or exit loan counseling; 5) reports and forms used by the University in participating in an HEA program, and any records needed to verify data in those reports and forms; and 6) documentation supporting calculations of the University's completion or graduation rates. The University must keep records relating to administration of the Federal Perkins Loan, FWS, FSEOG, or Federal Pell Grant Program for three years after the end of the award year for which the aid was awarded and disbursed. Records pertaining to any loan, claim, or expenditure questioned by a program audit, review, or investigation must be kept until resolution or the end of the applicable retention period, whichever is later. Annually the University must distribute to all enrolled students a notice of availability of the following: 1) Financial assistance available; 2) institutional information (e.g. cost of attendance including tuition, room, board, books and transportation; refund policy; description of academic programs and facilities; withdrawal requirements, facilities for the disabled; names of accrediting or licensing entities); 3) completion, graduation, and transfer-out rates; 4) annual security report; 5) report on athletic program participation rates and financial support data; 6) FERPA notice regarding how to obtain student information. This may be made available online and should be made available to prospective students upon request. The University must maintain and use written policies and procedures for verifying information contained in student aid applications. Policies and procedures must include: 1) The time period for applicants to provide documentation and consequences for failure to do so; 2) the school's verification requirements and method for notifying applicants of the results of the verification process; 3) how to correct erroneous application information; 4) how to make referrals to the Department of Education's Office of Inspector General for suspected criminal conduct by students in applying for aid. PLUS Loans are available to the parents of eligible students through the FDLP (Direct) or FFEL (private) program, but not both. If applications are made for an FFEL PLUS loan, the University must: 1) Verify the parent's immigration status and social security number in the same manner verified for students; 2) extend PLUS loans only to parents who do not have an adverse credit history; 3) extend such loans on the same terms, conditions and benefits as other FFEL loans; 4) for any academic year, limit the loan amount to the student's estimated cost of attendance minus other financial aid; and 5) be disbursed to the institution electronically or co-payable to the school and parent. Graduate/professional degree students are eligible to borrow under the PLUS Loan Program up to their cost of attendance minus other estimated financial assistance in both the FFEL and Direct Loan Program. The University may maintain a preferred vendor list so long as it is not used to deny or impede a borrower's choice of lenders, offers three or more lenders not affiliated with one another, and doesn't include lenders who have offered financial or other benefits to be included on the list. The University must disclose to borrowers the method and criteria used to select preferred lenders, and offer comparative information to borrowers about each lender's benefits. The University must include in its preferred lender materials a prominent statement that borrowers are not required to use any lender on the list, and may not delay award certification because a preferred lender is not used. The preferred lender list and associated information must be updated annually. Section 496: To participate in Title IV financial assistance programs the University must: 1) Obtain from the Secretary certification that it provides higher education (i.e. that it is an "eligible institution"); and 2) where the HEA program has undergone a change in ownership that results in a change in control, the University's "chief administrator" and its designated HEA program administrator must complete Title IV, HEA program training within 12 months of executing the program participation agreement. o provide Federal Supplemental Educational Opportunity Grant (FSEOG) grants to exceptionally needy undergraduate students the University must: 1) Sign a Participation Agreement with ED; 2) maintain funds in accordance with 34 C.F.R. 668.163; 3) maintain an internal control system so no office can both authorize and disburse payments; 4) maintain program and fiscal records; 5) contribute at least 25% of each grant; 6) limit and account for carry-forwards or carry-backs of funds; 7) follow the eligibility requirements and selection criteria set forth by ED; and 8) submit a Fiscal Operations Report and Application to Participate (FISAP) report each year. The University may not transfer FSEOG funds to any other program with the exception of Federal Work Study. HEOA now allows the University to transfer 25% of FSEOG to Federal Work Study. The University must: 1) Make loans first to students with exceptional need; 2) provide assurances that thorough and adequate loan information is provided to student borrowers; and 3) enter into cooperative agreements with credit bureaus to exchange information concerning student borrowers. At or prior to making a Perkins Loan the University must disclose thorough and adequate loan information including: 1) Name of institution of higher education and payment address; 2) principal loan amount and interest rate; 3) charges collected at or prior to disbursement and whether deducted from the loan or paid separately by borrower; 4) yearly and cumulative maximum amounts that may be borrowed; 5) when repayment is required and when accrued interest must be paid; 6) minimum and maximum repayment term, minimum monthly payment; 7) definition of default and consequences, and default penalty; 8) total cumulative balance and projected monthly payment; 9) options for consolidation or refinancing; 10) right to prepay without penalty and deferral options; 11) effect of loan on eligibility for other aid; 12) cost to borrower in making loan; and 13) a notice and explanation regarding the end to future availability of the loan made under this part. Authorization for the Perkins program will end on September 30, 2017. Through September 30, 2017, an institution may make loans to an eligible undergraduate borrower under the Perkins program through September 30, 2017, provided that the institution has already awarded all Federal Direct Loans for which the student is eligible. Through September 30, 2016, an institution may continue to disburse Perkins Loans to an eligible graduate student to enable the student to continue or complete an academic program, provided that the student received a Perkins loan prior to October 1, 2015. The U.S. Department of Education is currently working on related guidance for institutions. Generally, under the Federal Work Study Program (FWS), the University or the employing agency must pay 25% of the student's salary. The University must pay federal or state minimum wage, whichever is higher, for all hours worked, per the Fair Labor Standards Act. Volunteer time does not qualify. The University must use 7% of FWS allocation to employ students in community service, one of whom must be a reading tutor. The University must make students aware of community service opportunities. To apply for Title III or Title V designation, and thus be eligible for a waiver of the FWS and Federal Supplemental Education Opportunity Grant (FSEOG) non-federal share requirements, an institution must complete the "Application for Designation as an Eligible Institution" annually through the Department of Education.	all
86	20 U.S.C. Section 1001-1019d	Federal	Statute	Student Loan Default Prevention Initiative Act of 1990. Renders institutions with high default rates on student loans ineligible to participate in certain student loan programs.	all

87	Public Law No. 101-542; 20 U.S.C. 1092	Federal	Statute	Student Right to Know Act. Mandates that the University must have full time financial aid staff to assist students. University must make readily available upon request, through publications, mailings and electronic media, to enrolled and prospective students: 1) Financial aid programs available; 2) methods by which assistance is distributed among recipients; 3) means and requirements for applying; 4) rights and responsibilities when receiving aid; 5) cost of attendance; 6) refund policy, and grant return and withdrawal requirements; 7) the academic degree program; 8) names of financial aid personnel; 9) handicapped facilities; 10) names of accrediting entities; 11) academic standards; 12) graduation rates; 13) loan deferral and cancellation terms; 14) applicability of aid for study abroad; and 15) campus crime report. Annually the University must provide a list of this info to all enrolled students with the procedures for obtaining it. The University also must provide exit counseling for borrowers under this section. Annually the University must prepare the completion or graduation rate of its certificate or degree-seeking, full-time undergraduate students. As a member of an athletic conference, however, the Secretary of Education allows this requirement to be satisfied by the NCAA report to prospective student athletes, their coaches, parents and guidance counselors regarding completion or graduation rates for student athletes. The University must publish this data by July 1st, and the Spring IPEDS reporting satisfies that deadline.	all
88	15 U.S.C. 7701-7713	Federal	Statute	Controlling the Assault of Non-Solicited Pornography and Marketing Act of 2003 (CAN-SPAM Act). Prohibits the inclusion of deceptive or misleading information and subject headings, requires identifying information such as a return address in email messages, and prohibits sending emails to a recipient after an explicit response that the recipient does not want to continue receiving messages. In addition to bulk email, the law covers all commercial messages, which it defines as "any electronic mail message the primary purpose of which is the commercial advertisement or promotion of a commercial product or service." Each separate email in violation of the CAN-SPAM Act is subject to penalties of up to \$16,000.	all
89	26 U.S.C. Section 170	Federal	Statute	Internal Revenue Code: Substantiation and Disclosure Provisions. Substantiation and disclosure provisions apply to contributions made to tax-exempt organizations after December 31, 1993. For charitable contributions of \$250 or more, the donor must receive a contemporaneous written acknowledgment from the organization of the gift. The acknowledgment should note the amount of any cash contribution and, if the donation is in the form of property, the acknowledgment must describe, but need not value the property. Valuation of the property is the responsibility of the donor.	Institutional Advancement
90	26 U.S.C. Section 170	Federal	Statute	Pension Protection Act. No deduction will be allowed for the donor for a contribution of \$250 or more (whether in cash or property) unless the donor has a contemporaneous written acknowledgment from the university substantiating the contribution. The university must provide a written disclosure statement to the donor(s) who make payments described as quid pro quo contributions in excess of \$75.	Institutional Advancement
91	Public Law No. 104-62	Federal	Statute	Philanthropy Protection Act of 1995. Requires the university to provide a disclosure statement to all annuitants in a Gift Annuity Fund and also to provide the same to all prospective donors at the time of solicitation, using a letter or pamphlet format. Prohibits the payment of commissions or remuneration to anyone based on the value of a charitable gift annuity given to a public charity.	Institutional Advancement
92	Public Law No. 111-148; 42 U.S.C. 18001-18122	Federal	Statute	Patient Protection and Affordable Care Act. Beginning in 2015, under IRC - 4980H applicable large employers (generally those with 50 or more employees) must pay a tax penalty if (1) they do not offer health insurance coverage to substantially all of their full-time employees or (2) the coverage they do offer is not affordable or does not provide a certain minimum level of benefits. A full-time employee under the employer mandate is defined as a common law employee who is employed an average of at least 30 hours per week. The final regulations offer some specific guidance to higher education institutions with respect to counting the hours worked by certain adjunct faculty and student workers.	all
93	38 U.S.C. Sections 4211-4214	Federal	Statute	The Veterans' Readjustment Benefits Act. Provides the rights, benefits, and obligations of persons absent from employment for military service.	all
94	49 U.S.C. Section 31144	Federal	Statute	Drug and Alcohol Testing of Transportation Employees. Commercial motor vehicle operators are subject to pre-employment drug testing, and post-accident, random and reasonable suspicion drug and alcohol testing. Testing is mandatory if the driver is involved in a fatal accident. Passenger vehicle drivers are required to be tested prior to employment. The Code of Federal Regulations sets forth the procedures for administering drug and alcohol testing as mandated by the DOT.	all
95	29 U.S.C. Sections 2001-2009	Federal	Statute	Employee Polygraph Protection Act. The University may not: Directly or indirectly require, request, suggest, or cause any employee or prospective employee to take or submit to any lie detector test; Use, accept, refer to, or inquire concerning the results of any lie detector test of any employee or prospective employee; or Discharge, discipline, discriminate against, deny employment or promotion, or threaten such action against any employee or prospective employee who a) refuses, declines, or fails to take or submit to any lie detector test, or b) on the basis of the results of any lie detector test; or 4) discharge, discipline, discriminate against, deny employment or promotion, or threaten such action against any employee or prospective employee a) who has filed a complaint or caused to be instituted any proceeding per this Act, b) has or will testify in any such proceeding, or c) exercises any right per the Act. The University must post a notice of the Act, as prepared by the Secretary of Labor, in conspicuous places where notices to employees and applicants are customarily posted.	Academic Affairs
96	Public Law No. 105-19; 42 U.S.C. 14501-14505	Federal	Statute	Federal Volunteer Protection Act. Partially protects individual volunteers for non-profit organizations and governmental entities from liability for acts of negligence in the course of their volunteer work.	all
97	29 U.S.C. Sections 2101-2109	Federal	Statute	Worker Adjustment and Retraining Notification Act (WARN). The University must provide 60 days advance notice of plant closings or mass layoffs to affected workers (whether hourly or salaried, including managers or supervisors) or their representatives (i.e. labor union). Notice also must be given to the state dislocated worker unit and the appropriate unit of local government. Failure to comply may result in liability to each aggrieved employee for back pay and benefits for the period of violation up to 60 days, and \$500 for each day of violation for failing to notify the unit of local govt.	all
98	Public Law No. 95-454; 5 U.S.C. Section 1104	Federal	Statute	Civil Service Reform Act of 1978. These regulations establish a Bill of Rights for union members and set standards for union reports, trusteeships imposed on subordinate unions, elections of union officers, financial safe-guards, and other matters. They also set forth administrative procedures for enforcing the standards of conduct requirements, including hearings before an administrative law judge and determinations by the Assistant Secretary for Employment Standards.	all

99	29 U.S.C. Sections 151-169	Federal	Statute	National Labor Relations Act. It is an unfair labor practice for the University to: 1) Interfere with, restrain, or coerce employees in the exercise of their rights; 2) dominate or interfere with the formation or administration of any labor organization; 3) discriminate in any term or condition of employment; 4) encourage or discourage membership in any labor organization; or 5) refuse to bargain collectively with a labor organization's representatives.	all
100	15 U.S.C. Section 1673	Federal	Statute	Consumer Credit Protection Act. Per Title III of the CCPA the maximum part of an employee's total disposable earnings subject to garnishment in any workweek may not exceed the lesser of 25% of disposable earnings for that week or the amount by which disposable earnings for that week exceeds 30 times the federal minimum wage rate in effect at the time the earnings are payable. 1674 prohibits firing an employee because of garnishment and imposes a \$1,000 fine for doing so.	all
101	29 U.S.C. 201-219	Federal	Statute	Fair Labor Standards Act (FLSA). Establishes minimum wage. Guarantees "time and a half" overtime for some employees. Establishes requirements for break time and places for nursing mothers. The University must preserve for 3 years: All payroll records or other records containing employee data from the last date of entry From their last effective date: collective bargaining agreements and amendments, plans, trusts, employment and individual contracts, written agreements or memoranda summarizing the terms of oral agreements, and certificates and notices. The University must preserve for two years: Basic employment and earnings records, wage rate tables, records of additions to or deductions from wages paid, sll records used in determining original, operating and maintenance costs, and depreciation and interest charges.	all
102	42 U.S.C. Sections 401-434	Federal	Statute	Federal Insurance Contributions Act (FICA). Provides that service performed in the employ of a school, college or university by a student who is enrolled and regularly attending classes at such school, college, or university is exempt from the FICA tax. An employee who is in employment for wages which are subject to taxes under the Federal Insurance Contributions Act (FICA) or which are subject to the withholding of income tax from wages must apply for a social security number by filing SSA Form SS-5. An employer must pay social security taxes on employees, but an exemption exists for most students who are also working for the university and for clergy whose services are performed in the exercise of their ministry.	Academic Affairs
103	26 U.S.C. Sections 3301-3311	Federal	Statute	Federal Unemployment Tax Act. Provides for payments of unemployment compensation to workers who have lost their jobs. If your FUTA tax is more than \$500 for the calendar year, you must deposit at least one quarterly payment. If not, alternate rules apply.	Academic Affairs
104	Qualified Tuition Reductions	Federal	Statute	A qualified tuition reduction is any reduction in tuition provided to an employee for the education of an employee or certain relatives of the employee at the institution the employee works at or another qualified institution. A qualified tuition reduction is tax-free. The tuition must be for education below the graduate level, with an exception for graduate students engaged in teaching or research at the university.	Academic Affairs
105	22 C.F.R. 62.16	Federal	Statute	Student Exchange Visitor Information System (SEVIS). The Student and Exchange Visitor Program (SEVP) acts as the bridge for various government organizations that have an interest in information on foreign students. SEVIS was created to improve data collection and reporting, enhance customer service, facilitate compliance with regulations and help Immigration and Customs Enforcement (ICE) better monitor schools and exchange programs, as well as F, M and J non-immigrants. Via SEVIS, the University must keep information and records relating to each F-1 or M-1 student to whom it has issued a Form I-20A or I-20M.	Academic Affairs
106	47 U.S.C. Sections 1001-1010	Federal	Statute	Communications Assistance for Law Enforcement Act (CALEA). CALEA requires a "telecommunications carrier," as defined by the Act, to ensure that equipment, facilities, or services that allow a customer or subscriber to "originate, terminate, or direct communications," enable law enforcement officials to conduct electronic surveillance pursuant to court order or other lawful authorization.	all
107	44 U.S.C. Section 35	Federal	Statute	Federal Information Security Management Act (FISMA). The act, applicable to federal agencies, also covers the University as a federal contractor where it is holding federal data pursuant to federally-funded research. The Act requires that the University: 1) implement security programs and policies; 2) assess risk; and 3) periodically test controls.	Academic Affairs
108	20 U.S.C. Section 1232g	Federal	Statute	FERPA. The University must provide students the right to inspect their education records and obtain written consent to release the records to anyone other than school officials, authorized government personnel, in connection with financial aid, in an emergency, or for other specifically-allowed purposes.	all
109	15 U.S.C. Section 6801	Federal	Statute	Freedom of Information Act (FOIA). Provides a process by which every person may request access to a public college or university's records or information.	all
110	20 U.S.C. Section 1094; 110-315	Federal	Statute	Institutions are prohibited from providing any commission, bonus, or other incentive payment based in any part, directly or indirectly, upon success in securing enrollments or the award of financial aid, to any person or entity who is engaged in any student recruitment or admission activity, or in making decisions regarding the award of Title IV, HEA program funds. There is an exception provided for the recruitment of foreign students residing in foreign countries who are not eligible to receive Federal student assistance. According to 2015 guidance, the Department of Education does not interpret the regulations to proscribe compensation for recruiters that is based upon students' graduation from, or completion of, educational programs.	Academic Affairs
111	20 U.S.C. Section 1094	Federal	Statute	Makes the institution responsible for substantial misrepresentations made by the institution itself, a representative of the institution, or any person or entity with whom the institution has an agreement to provide educational programs, marketing, advertising, and recruiting or admissions services. Broadens the definitions of misrepresentations of the nature of an institution's educational program, financial charges, or employability of its graduates.	University Relations
112	20 U.S.C. Section 1001, 1002	Federal	Statute	Provides federal definition of credit hour.	Academic Affairs
113	20 U.S.C. Section 1001, 1002	Federal	Statute	Gainful Employment. To be Title IV eligible, an educational program must either lead to a degree awarded by a public or nonprofit institution or prepare students for gainful employment (GE) in a recognized occupation. Institutions must certify that a GE program meets acceptable state and accreditation requirements, and the programs must meet specified debt-to-earnings (D/E) measures. The D/E rates measure is based on the typical loan debt and earnings of students who previously completed the program. Two D/E rates are calculated, one based on annual earnings and one based on discretionary income. Institutions must also establish the eligibility of a GE program by certifying, among other things, that the program is included in the institution's accreditation and satisfies any applicable state licensing and certification requirements for the occupations for which the program prepares students to enter. With the exception of the disclosure requirements (pertaining to prospective and enrolled students) in 34 CFR 668.412, all of the provisions in the GE regulations took effect July 1, 2015. The new disclosure requirements are effective January 1, 2017.	Academic Affairs

114	20 U.S.C. Section 1001, 1002	Federal	Statute	State Authorization Rule. In order for its students to be eligible for Title IV student financial assistance, an institution must be able to demonstrate to ED that it meets the legal authorization standards of every state in which it operates (effective July 1, 2015). An institution must make available, upon request, to any enrolled or prospective student a copy of the documents describing the institution's accreditation and its state, federal or tribal approval or licensing. In addition, the institution must provide students and prospective students with contact information for filing complaints with the institution's accreditor and with its state approval agency and any other relevant state official or agency.	Academic Affairs
115	7 U.S.C. Sections 2131-2159	Federal	Statute	Animal Welfare Act. Governs the treatment of animals used for research: dogs, cats, monkeys, guinea pigs, hamsters, and other warm-blooded animals.	Academic Affairs
116	45 C.F.R. 46101-46.124	Federal	Statute	Common Rule. Institutions must provide a written assurance application that they will comply with the Common Rule requirements. Human subjects research must undergo review and be approved by the designated institutional review board (IRB). Reporting to the Office for Human Research Protections (OHRP) of unanticipated problems involving risks to subjects or serious or continuing non-compliance, and any suspension or termination of research.	Academic Affairs

Agency Name:

Winthrop University

Fiscal Year 2015-16

Accountability Report

Agency Code:

H47

Section:

21

Customer Template

Divisions or Major Programs	Description	Service/Product Provided to Customers	Customer Segments	<i>Specify only for the following Segments: (1) Industry; Name; (2) Professional Organization; Name; (3) Public; Demographics.</i>
undergraduate student body	Winthrop enrolls an achievement-oriented, culturally diverse and socially responsible population of approximately 5,000 undergraduate students	higher education, accredited degree programs, personal growth and development	General Public	The undergraduate student body consists of 90% South Carolina residents, 68% females, 44% Pell eligible, 59% white, 30% Black or African American, 4% Hispanic, 5% other U.S. minorities
graduate student body	Winthrop enrolls an achievement-oriented, culturally diverse and socially responsible population of approximately 1,000 graduate students	higher education, accredited degree programs, personal growth and development	General Public	The graduate student body consists of 69% South Carolina residents, 76% females, 72% white, 20% Black or African American, 2% Hispanic, 2% other U.S. minorities
employers	Winthrop graduates find employment in a wide range of K-12 schools, for-profit industries, non-profit organizations, government agencies, higher education institutions, medical fields, journalism, the arts, sciences, research, etc.	Winthrop graduates, who are eminently prepared to be leaders in their chosen professions.	Industry	Winthrop graduates find employment in a wide range of K-12 schools, for-profit industries, non-profit organizations, government agencies, higher education institutions, medical fields, journalism, the arts, sciences, research, etc.
parents	Parents and guardians of current students	higher education and opportunities for personal growth and development for their children	General Public	Demographic data on students' parents is not readily available to the agency.
state of South Carolina	The state's citizens, employers, economy	Winthrop helps fuel the economic engines of SC through workforce development and entrepreneurship; by preparing students for democratic citizenship and social responsibility; by promoting professional success and social mobility	Executive Branch/State Agencies	
alumni	graduates and former Winthrop students	higher education, accredited degree programs, personal growth and development	General Public	Winthrop alumni consists of over 56,000 graduate and non-graduate alums. Demographic data on this population is not readily available to the agency.
employees	Over 1,200 full- and part-time faculty, staff, and administrators	Winthrop employs regular, FTE-occupying staff, faculty, and administrators as well as student, temporary, and grant-funded	General Public	61% of employees are women, 15% of full-time faculty and 27% of full-time staff are multicultural.
S.C. high schools	Winthrop serves approximately 15 Schools and 250 students per semester	Dual enrollment credit for high school students taking Teacher Cadet	School Districts	

Agency Name:**Winthrop University****Fiscal Year 2015-16
Accountability Report****Agency Code:****H47****Section:****021****Partner Template**

Name of Partner Entity	Type of Partner Entity	Description of Partnership	Associated Objective(s)
City of Rock Hill	Local Government	Winthrop partners with the City on issues regarding economic and urban development, traffic and road safety in areas near campus, and fine arts collaborations and initiatives.	4.2.1, 4.2.2
York Technical College	Higher Education Institute	Bridge program partnership with York Tech students to grant access to Winthrop student and support services and aid transferring for increased higher education access	1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.4.2
Knowledge Park developer Sora Phelps	Private Business Organization	An ongoing concept joining public and private leaders to implement the redevelopment of Rock Hill's urban core as an economic development initiative designed to bring high-tech businesses and high-paying jobs to Rock Hill. This initiative creates new opportunities for Winthrop to strengthen its educational mission, to enrich learning and career opportunities for students, and to build supportive relationships with businesses in the region.	4.2.1
INBRE - National Institute of Health	Federal Government	"The goal of the Idea Networks of Biomedical Research Excellence (INBRE) is to increase the National Institute of Health research capacity of the state by programmatic expansion and networking of research activities of faculty and students at academic institutions throughout the state."	2.1.2
Rex Institute School/University partnership network	K-12 Education Institute	A partnership between Winthrop, various K-12 school districts, and community partners created to improve student academic achievement in high-need schools, improve professional learning for school-university faculty and teacher candidates, strengthen the pre-baccalaureate preparation of teacher candidates, and increase support for new teachers in high-need districts.	2.1.2, 4.2.2
internship providers	Private Business Organization	Winthrop placed 589 undergraduate and 431 graduate students in internships, field experiences, and co-ops in the 2015-16 academic year. This includes internships in the private sector, nonprofit organizations, government agencies, and K-12 schools.	2.1.2, 4.2.2
K-12 schools, primarily in York, Lancaster, and Chester counties	K-12 Education Institute	Winthrop education majors begin participating in field experiences in local schools their freshman year, leading up to practice teaching in the senior year. Winthrop placed approximately 155 senior students in teacher certification internships/practice teaching in the public schools in the fall 2015 semester.	2.1.2
S.C. high schools	K-12 Education Institute	Winthrop serves approximately 15 high schools and 250 students each fall for dual enrollment Teacher Cadet courses	1.1.1, 4.2.2

S.C. two-year institutions	Higher Education Institute	Winthrop has transfer articulation agreements and transfer course equivalencies for all S.C. higher education institutions to aid higher education access	1.1.1, 1.1.2, 1.1.3, 1.1.4, 1.4.2
Winthrop Initiative for STEM Educators (WISE)	K-12 Education Institute	The WISE program is a collaboration with regional school districts, the Center for Educator Recruitment, Retention & Advancement (CERRA), the National Science Foundation, the Teacher Cadet program, NetSCOPE, and York Tech. Its goals are recruitment of and support for math and science teachers; multiple and varied paths for certification; research and internship opportunities for STEM majors; and incentive programs leading to teacher certification in STEM fields.	2.1.2, 4.2.2
Center for Educator Recruitment, Retention, & Advancement (CERRA)	K-12 Education Institute	Established by SC CHE in 1985 and funded by the SC General Assembly, CERRA was created out of a concern for the condition of SC's teacher supply pool and a need for a centralized teacher recruitment, retention, and advancement effort.	2.1.2, 4.2.2

Agency Name: **Winthrop University**

Fiscal Year 2015-16
Accountability Report

Agency Code: **H47** Section: **021**

Report Template

Item	Report Name	Name of Entity Requesting the Report	Type of Entity	Reporting Frequency	Submission Date (MM/DD/YYYY)	Summary of Information Requested in the Report	Method to Access the Report
1	IPEDS Institutional Characteristics	Department of Education	Federal	Annually	October 28, 2015	Required reporting of institutional data	http://nces.ed.gov/ipeds/datacenter/
2	IPEDS Completions	Department of Education	Federal	Annually	October 28, 2015	Required reporting on degrees completed	http://nces.ed.gov/ipeds/datacenter/
3	IPEDS 12-Month Enrollment	Department of Education	Federal	Annually	October 28, 2015	Required reporting on enrollment data by 12-month period	http://nces.ed.gov/ipeds/datacenter/
4	IPEDS Student Financial Aid	Department of Education	Federal	Annually	February 24, 2016	Required reporting of financial aid data	http://nces.ed.gov/ipeds/datacenter/
5	IPEDS Graduation Rate, Graduation 200%	Department of Education	Federal	Annually	February 24, 2016	Required reporting of graduation rate and completions data	http://nces.ed.gov/ipeds/datacenter/
6	IPEDS Admissions	Department of Education	Federal	Annually	February 24, 2016	Required reporting of admissions data	http://nces.ed.gov/ipeds/datacenter/
7	IPEDS Outcome Measures	Department of Education	Federal	Annually	February 24, 2016	Required reporting of student completion/retention/subsequent enrollment data	http://nces.ed.gov/ipeds/datacenter/
8	IPEDS Enrollment	Department of Education	Federal	Annually	February 24, 2016	Required reporting of enrollment data	http://nces.ed.gov/ipeds/datacenter/
9	IPEDS Finance	Department of Education	Federal	Annually	April 20, 2016	Required reporting of finance data	http://nces.ed.gov/ipeds/datacenter/
10	IPEDS Human Resources	Department of Education	Federal	Annually	April 20, 2016	Required reporting of faculty and staff demographic and salary data	http://nces.ed.gov/ipeds/datacenter/
11	IPEDS Academic Libraries	Department of Education	Federal	Annually	April 20, 2016	Required reporting of library holdings data	http://nces.ed.gov/ipeds/datacenter/
12	CHEMIS Enrollment, Identifier, Disbursements, Course, CHE 14A, B, & C	South Carolina Commission on Higher Education	State	Quarterly	8/14/15, 10/30/15, and 3/31/16	Report required each semester with data on student enrollment	http://www.che.sc.gov/DataPublications
13	CHEMIS Identifier	South Carolina Commission on Higher Education	State	Quarterly	8/14/15, 10/30/15, and 3/31/16	Report required each semester with data on student SSN changes	http://www.che.sc.gov/DataPublications
14	CHEMIS Disbursements	South Carolina Commission on Higher Education	State	Quarterly	8/14/15, 10/30/15, and 3/31/16	Report required each semester with data on scholarships awarded	http://www.che.sc.gov/DataPublications
15	CHEMIS Course	South Carolina Commission on Higher Education	State	Quarterly	8/14/15, 10/30/15, and 3/31/16	Report required each semester with course data	http://www.che.sc.gov/DataPublications
16	CHEMIS 14A, B, C	South Carolina Commission on Higher Education	State	Quarterly	8/14/15, 10/30/15, and 3/31/16	Report required each semester with data on credit hours earned by employees and senior citizens and credit hours generated outside of SC	http://www.che.sc.gov/DataPublications
17	CHEMIS Completions	South Carolina Commission on Higher Education	State	Annually	September 30, 2015	Required reporting on degrees and certificates awarded in the prior year	http://www.che.sc.gov/DataPublications
18	CHEMIS Facilities	South Carolina Commission on Higher Education	State	Annually	October 30, 2015	Required reporting on building- and room-level data on campus facilities	http://www.che.sc.gov/DataPublications

19	CHEMIS Faculty	South Carolina Commission on Higher Education	State	Annually	November 30, 2015	Required reporting on faculty credential, demographic, and salary data	http://www.che.sc.gov/DataPublications
20	CHEMIS Abatements	South Carolina Commission on Higher Education	State	Annually	October 1, 2015	Required reporting on number of out-of-state students in prior fiscal year that received abatement of tuition rates	http://www.che.sc.gov/DataPublications
21	Outstanding Institutional Debt	South Carolina Commission on Higher Education	State	Annually	November 1, 2015	Required reporting on amount of initial debt, year incurred, year of satisfaction, repayment schedule, purpose of debt	http://www.che.sc.gov/DataPublications
22	Vacant FTEs, Unfunded FTEs	State Fiscal Accountability Authority	State	Annually	September 30, 2015	Required reporting on vacant permanent positions, number of established positions for the FY and amount of funds required	http://www.sfaa.sc.gov
23	Travel Report	State Fiscal Accountability Authority	State	Annually	November 1, 2015	Required report that summarizes in-state, out-of-state and non-employee travel and registration expenditures.	http://www.sfaa.sc.gov
24	State Accountability Report	Executive Budget Office	State	Annually	September 15, 2015	Required report that identifies key program area descriptions and expenditures and links these to key financial and performance results measures	http://www.scstatehouse.gov/reports/aar2016/aar2016.php
25	Debt Collection Report	South Carolina Department of Administration	State	Annually	February 1, 2016	Required report on amount of outstanding debt and methods used to collect that debt	http://www.admin.sc.gov
26	Organizational Chart	State Human Resources Division	State	Annually	September 1, 2015	Required current organizational chart showing all authorized positions, class title, class code, position number and indication of vacancies	http://www.admin.sc.gov/humanresources/agency-information/organizational-chart-statewide
27	Year-End Financial Statements	State Fiscal Accountability Authority	State	Annually	October 1, 2015	Required annual audited financial statements for inclusion in the State's Comprehensive Annual Financial report	http://www.sfaa.sc.gov
28	Fines and Fees Report	South Carolina Department of Administration	State	Annually	September 1, 2015	Required report of all aggregate amounts of fines and fees that were charged and collected by the agency in the prior fiscal year	http://www.winthrop.edu/uploadedFiles/controllersoffice/ProvisoCurrent.pdf
29	Fifth-Year Interim Report	Southern Association of Colleges and Schools Commission on Colleges	Outside Organization		March 1, 2017	In order to maintain accreditation, the University is required to complete a comprehensive report, providing evidence, documentation, and narrative of compliance with approximately 20 of SACSCOC's standards	https://www.winthrop.edu/sacs/default.aspx?id=8242
30	Compliance Certification Report	Southern Association of Colleges and Schools Commission on Colleges	Outside Organization		April 1, 2021	In order to maintain accreditation, the University is required to complete a comprehensive report, providing evidence of compliance with SACSCOC's 60+ standards	https://www.winthrop.edu/sacs/default.aspx?id=8241
31	Quality Enhancement Plan Five Year Impact Report	Southern Association of Colleges and Schools Commission on Colleges	Outside Organization		September 1, 2016	SACSCOC requires institutions to develop, implement, support, and assess a QEP as part of the reaffirmation process	http://www.winthrop.edu/gli/default.aspx?id=40972

32	SACSCOC Enrollment Report	Southern Association of Colleges and Schools Commission on Colleges	Outside Organization	Annually	December 15, 2015	In order to maintain accreditation, the University is required to report data on enrollment, credit hours, and contact hours.	http://www.sacscoc.org/
33	CHE Admissions Data Submission	South Carolina Commission on Higher Education	State	Annually	December 15, 2015	Required report on the number of first-time freshmen applicants, admits, enrolled, description of admission policy	http://www.che.sc.gov/DataPublications
34	SACSCOC Financial Profile	Southern Association of Colleges and Schools Commission on Colleges	Outside Organization	Annually	July 15, 2016	In order to maintain accreditation, the University must report financial data from IPEDS Finance and from audited fiscal year financial statements	http://www.sacscoc.org/
35	SACSCOC Student Achievement Goals	Southern Association of Colleges and Schools Commission on Colleges	Outside Organization	Annually	March 1, 2016	Data required to be posted to the web on various student achievement measures	http://www.winthrop.edu/accountability/default.aspx?id=39591
36	President's presentation to S.C. Ways and Means Committee	State of South Carolina	State	Annually	January 15, 2016	Data on enrollment, finances, scholarships, etc as requested by the legislature	http://www.scstatehouse.gov/CommitteeInfo/housewaysandmeans.php
37	IE Report: Professional Examinations Table	South Carolina Commission on Higher Education	State	Annually	August 10, 2016	Required report on pass rates from professional examinations taken by current students	http://www.che.sc.gov/DataPublications
38	List of Vendors Paid in Excess of \$5,000	ACME Research	Outside Organization		Upon request	Required list of vendors paid in excess of \$5,000, excluding employees and students	internally
39	CHE100	South Carolina Commission on Higher Education	State	Annually	early July	Required schedule of Required and Other Fees	http://www.che.sc.gov/Students,FamiliesMilitary/PayingForCollege/TuitionFeeSchedules.aspx
40	CHE150	South Carolina Commission on Higher Education	State	Annually	Usually January	Required report on Research and Public Service expenses, utility costs, acreage, etc	internally
41	eZ Audit	Department of Education	Federal	Annually	March 31	Required eZ Audit submission for Federal Student Aid - financial statements and audit compliance	internally
42	Form 1042-S	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	March 15	Required report on foreign persons' U.S. source income subject to withholding	internally
43	Form 1042-T	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	March 15	Required annual summary and transmittal of Forms 1042-S	internally
44	Form 1042	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	March 15	Required annual withholding tax return for U.S. source income of foreign persons	internally
45	Form 1099-K	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	January 31	Required payment card and third party network transactions	internally
46	Form 1096 for 1099-K	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	on or before the last day of February	Required transmittal for payment card and third party network transactions	internally
47	Form 941	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Quarterly	end of the month following the quarter end	Required employer's quarterly federal tax return	internally

48	Schedule B of Form 941	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Quarterly	end of the month following the quarter end	Required report of tax liability for semiweekly schedule depositors	internally
49	Form 1098-T	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	January 31	Required report providing information on educational expenses to student or parent	internally
50	Form 1099 MISC	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	January 31	Required report on miscellaneous income paid to non-employees	internally
51	Form 1096 for 1099 MISC	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	on or before the last day of February	Required transmittal for miscellaneous income	internally
52	Form W-9	Department of the Treasury - Internal Revenue Service (IRS)	Federal		Upon request	Required to provide Winthrop University's federal tax identification number	internally
53	Form W-2	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	January 31	Required wage and tax statement	internally
54	Form 1095-C	Department of the Treasury - Internal Revenue Service (IRS)	Federal	Annually	January 31	Required employer-provided health insurance offer and coverage	internally
55	Form SF-SAC	Federal Audit Clearinghouse	Federal	Annually	November 5	Required summary of information for Federal Student Aid Awards in accordance with OBM Circular A-133	internally
56	NCAA Report	NCAA	Federal	Annually	January 15	Summary of athletic financial information by sport and gender required by the NCAA	internally
57	SPIRS	SC Department of Administration	State	Monthly	10th of each month	Required summary of expenditure transactions processed on statewide permanent improvement projects	internally
58	Annual Budget Plan	SC Department of Administration	State	Annually	September	Required program templates for requesting recurring, non-recurring and capital funding	internally
59	Unemployment information	SC Department of Employment and Workforce (DEW)	State	Quarterly	end of the month following the quarter end	Quarterly unemployment information as required by this state agency	internally
60	Retirement information	SC Public Employee Benefit Authority (PEBA)	State	Monthly	as requested by agency	Monthly retirement information as required by this state agency	internally
61	Retirement information	SC Public Employee Benefit Authority (PEBA)	State	Quarterly	as requested by agency	Quarterly retirement information as required by this state agency	internally
62	Worker's compensation information	South Carolina State Accident Fund	State	Quarterly	end of the month following the quarter end	Quarterly worker's compensation information as required by this agency	internally
63	Worker's compensation information	South Carolina State Accident Fund	State	Annually	August 15	Annual worker's compensation information as required by this agency	internally
64	Closing Package	State of SC Comptroller General's Office	State	Annually	September 20	Required financial audit summary information	internally
65	Audited Financial Statements	State of SC Comptroller General's Office	State	Annually	October 1	Required independent auditors' report on Winthrop University's financial statements and schedules	http://osa.sc.gov/Reports/stateengagements/winthrop/Pages/default.aspx

66	Agreed Upon Procedures	State of SC Comptroller General's Office	State	Annually	December 15	Required independent auditors' report on Winthrop University's intercollegiate athletics program	http://osa.sc.gov/Reports/stateengagements/winthrop/Pages/default.aspx
67	Form WH-1605	State of SC Department of Revenue (SC DOR)	State	Quarterly	end of the month following the quarter end	Required SC withholding quarterly tax return for first, second and third quarters	internally
68	Form WH-1606	State of SC Department of Revenue (SC DOR)	State	Annually	on or before the last day of February	Required SC withholding fourth quarter and annual reconciliation	internally
69	Form ST-3	State of SC Department of Revenue (SC DOR)	State	Monthly	20th of each month	Required state sales and use tax return for Accounts Payable	internally
70	Form ST-3	State of SC Department of Revenue (SC DOR)	State	Monthly	20th of each month	Required state sales and use tax return for Printing Services	internally
71	Form ST-3	State of SC Department of Revenue (SC DOR)	State	Annually	January 20	Required state sales and use tax return for Athletics	internally
72	Form ST-388	State of SC Department of Revenue (SC DOR)	State	Monthly	20th of each month	Required state sales, use, and accommodations tax return for The Inn at Winthrop	internally
73	Form L-511	State of SC Department of Revenue (SC DOR)	State	Monthly	20th of each month	Required admissions/theatre tax return for Athletics admissions tax	internally
74	Form ST-8	State of SC Department of Revenue (SC DOR)	State		Upon request	Exemption certificate for sales and use tax - single sale	internally
75	Sales and use tax exemption information	State of SC Department of Revenue (SC DOR)	State		As needed	Sales and use tax exemption for "Machine(s) Used for R&D"	internally
76	Minority Assistance Report	State Procurement Office	State	Annually	August	Required financial information and minority business transactions	internally
77	Independent Accountant Report	The University of North Carolina	Outside Organization	Annually	September 1	Required independent auditors' report on Winthrop University's North Carolina bond guarantee	internally
78	US News Finance Survey	US News & World Report	Outside Organization	Annually	May	Financial information on prior fiscal year	internally
79	US News Survey	US News & World Report	Outside Organization	Annually	May	Data on the institution for the use of prospective students	http://www.usnews.com
80	Peterson's Survey	Peterson's	Outside Organization	Annually	May	Data on the institution for the use of prospective students	http://www.petersons.com
81	ACT-Institutional Data Questionnaire	ACT	Outside Organization	Annually	April	Data on the institution for the use of prospective students	http://www.act.org
82	CUPA-HR Four-Year Faculty Survey	College and University Professional Association for Human Resources	Outside Organization	Annually	January	Information on full-time faculty salaries by rank and discipline	www.cupahr.org
83	CUPA-HR Professionals in Higher Education Survey	College and University Professional Association for Human Resources	Outside Organization	Annually	January	Information on exempt staff salaries by rank and discipline	www.cupahr.org

84	CUPA-HR Administrators' Survey	College and University Professional Association for Human Resources	Outside Organization	Annually	January	Information on administrator salaries by rank and discipline	www.cupahr.org
85	CUPA-HR Non-Exempt Employees Survey	College and University Professional Association for Human Resources	Outside Organization	Annually	January	Information on non-exempt staff salaries by rank and discipline	www.cupahr.org
86	CUPA-HR Per Course Faculty Survey	College and University Professional Association for Human Resources	Outside Organization	Annually	January	Information on part-time faculty salaries by rank and discipline	www.cupahr.org
87	CUPA-HR Department Heads Faculty Survey	College and University Professional Association for Human Resources	Outside Organization	Annually	January	Information on full-time faculty department chair salaries by rank and discipline	www.cupahr.org
88	AAUP Faculty Compensation Survey	American Association of University Professors	Outside Organization	Annually	January	Information on faculty salaries and benefits	https://www.aaup.org/our-work/research/annual-report-economic-status-profession
89	Higher Education Arts Data Services (HEADS) Survey	National Association of Schools of Art and Design	Outside Organization	Annually	January	Required report of all NASAD accredited institutions of information regarding art/design program operations and achievements	https://nasad.arts-accredit.org
90	CSRDE Retention and Completion Survey	Consortium for Student Retention Data Exchange	Outside Organization	Annually	March	Data on continuation and completion rates for students by gender and race	https://csrde.ou.edu
91	CSRDE STEM Retention and Completion Survey	Consortium for Student Retention Data Exchange	Outside Organization	Annually	May	Data on continuation and completion rates for students in Science, Technology, Engineering, and Math majors by gender and race	https://csrde.ou.edu
92	CSRDE Community College Transfer Retention and Completion Survey	Consortium for Student Retention Data Exchange	Outside Organization	Annually	July	Data on continuation and completion rates for students who transferred in from two-year institutions by gender and race	https://csrde.ou.edu
93	Open Doors Survey	Institute of International Education	Outside Organization	Annually	March	Statistical data on international students	http://www.iie.org/Research-and-Publications/Open-Doors#.V8WulfkrLRY
94	College Board Survey	College Board	Outside Organization	Annually	December	Data on the institution for the use of prospective students	https://research.collegeboard.org/
95	Council on Social Work Education (CSWE) Survey	Council on Social Work Education	Outside Organization	Annually	February	Required report of all CSWE accredited institutions of information regarding social work program operations and achievements	http://www.cswe.org/CentersInitiatives/DataStatistics/AnnualSurvey.aspx
96	General Social Survey (GSS)-National Science Foundation Survey	National Science Foundation	Outside Organization	Annually	February	Enrollment and financial aid data on students in the biology, specialist in school psychology, and human nutrition programs	http://www.nsf.gov
97	Wintergreen Orchard House Survey	Wintergreen Orchard House	Outside Organization	Annually	April	Data on the institution for the use of prospective students	http://www.wintergreenorchardhouse.com

98	SCOIS Survey	South Carolina Occupational Information System	Outside Organization	Annually	May	Data on the institution for the use of prospective students	https://sccis.intocareers.org
99	Common Data Set (CDS)	Common Data Set Initiative	Outside Organization	Annually	December	A collaborative effort among data providers in the higher education community to improve the quality and accuracy of information provided to all involved in a student's transition into higher education, as well as to reduce the reporting burden on data providers	http://www.winthrop.edu/uploadedFiles/CDS2015-2016Publication.pdf
100	Barron's Survey	Barron's Educational Services	Outside Organization	Annually	December	Data on the institution for the use of prospective students	http://www.barronspac.com/
101	Princeton Review Survey	The Princeton Review	Outside Organization	Annually	March	Data on the institution for the use of prospective students	http://www.princetonreview.com/college-education
102	Food and Agricultural Education Information System (FAEIS) Survey	Board on Human Sciences and the Council of Administrators in Family and Consumer Sciences	Outside Organization	Annually	March	Data to track trends and financial health in higher education programs in human sciences	http://www.faeis.ahnrit.vt.edu/hs_survey.shtml
103	ACEJMC reporting	Accrediting Council on Education in Journalism and Mass Communication	Outside Organization	Annually	July	Required report of all ACEJMC accredited institutions of information regarding mass communication and integrated marketing program operations and achievements	http://www2.ku.edu/~acejmc/
104	ACS reporting	American Chemical Society	Outside Organization	Annually	August	Required report of all ACS accredited institutions of information regarding chemistry program operations and achievements	https://www.acs.org/content/acs/en.html
105	AACSB reporting	Association to Advance Collegiate Schools of Business International	Outside Organization	Annually	August	Required report of all AACSB accredited institutions of information regarding business program operations and achievements	http://www.aacsb.edu/
106	CAATE reporting	Commission on Accreditation of Athletic Training Education	Outside Organization	Annually	August	Required report of all CAATE accredited institutions of information regarding athletic training program operations and achievements	http://www.caate.net/

107	CFP	Certified Financial Planner Board of Standards	Outside Organizati Annually	August	Required report of all CFP accredited institutions of information regarding finance program operations and achievements	http://www.cfp.net/
108	ACEND	Accreditation Council for Education in Nutrition and Dietetics	Outside Organizati Annually	August	Required report of all ACEND accredited institutions of information regarding human nutrition program operations and achievements	http://www.eatright.org/
109	CAC/ABET	Computing Accreditation Commission of the Accreditation Board for Engineering and Technology	Outside Organizati Annually	August	Required report of all CAC/ABET accredited institutions of information regarding computer science program operations and achievements	http://www.abet.org/
110	CACREP	Council for Accreditation of Counseling and Related Educational Programs	Outside Organizati Annually	August	Required report of all CACREP accredited institutions of information regarding counseling program operations and achievements	http://www.cacrep.org/
111	CIDA	Council for Interior Design Accreditation	Outside Organizati Annually	August	Required report of all CIDA accredited institutions of information regarding interior design program operations and achievements	http://accredit-id.org/
112	COSMA	Commission on Sport Management Accreditation	Outside Organizati Annually	August	Required report of all COSMA accredited institutions of information regarding sport management program operations and achievements	http://www.cosmaweb.org/
113	NAEYC	National Association of the Education of Young Children	Outside Organizati Annually	August	Required report of all NAEYC accredited institutions of information regarding early childhood education program operations and achievements	http://www.naeyc.org/
114	NASP	National Association of School Psychologists	Outside Organizati Annually	August	Required report of all NASP accredited institutions of information regarding school psychology program operations and achievements	http://www.nasponline.org/

115	NASD	National Association of Schools of Dance	Outside Organizati Annually	August	Required report of all NASD accredited institutions of information regarding dance program operations and achievements https://nasd.arts-accredit.org/
116	NASM	National Association of Schools of Music	Outside Organizati Annually	August	Required report of all NASM accredited institutions of information regarding music program operations and achievements https://nasm.arts-accredit.org/
117	NAST	National Association of Schools of Theatre	Outside Organizati Annually	August	Required report of all NAST accredited institutions of information regarding theatre program operations and achievements https://nast.arts-accredit.org/
118	NCATE	National Council for the Accreditation of Teacher Education	Outside Organizati Annually	August	Required report of all NCATE accredited institutions of information regarding teacher education program operations and achievements http://www.ncate.org/

Agency Name: Winthrop University

Fiscal Year 2015-16
Accountability Report

Agency Code: H47 **Section:** 021

Oversight Review Template

Item	Name of Entity Conducted Oversight Review	Type of Entity	Oversight Review Timeline (MM/DD/YYYY to MM/DD/YYYY)	Method to Access the Oversight Review Report
1	Office of the State Auditor financial audit	State	07/01/2015 to 06/30/2016	http://osa.sc.gov/Reports/stateengagements/winthrop/Pages/default.aspx
2	Office of the State Auditor intercollegiate athletics	State	07/01/2015 to 06/30/2016	http://osa.sc.gov/Reports/stateengagements/winthrop/Pages/Athletics.aspx
3	National Science Foundation desk review	Federal	7/1/2015 to 7/1/2016	Assessment of Winthrop's systems and processes as they relate to the administration of NSF grant funds. Final report is still pending.
4	program reviews	Outside Organization	8/15/15 through 5/15/16	Program reviews were conducted in 2015-16 for the Departments of English, Political Science, and World Languages. The resulting reports are used internally but are not published to the public.
5	Council for the Accreditation of Educator Preparation (CAEP) accreditation reviews	Outside Organization	8/15/15 through 5/15/16	Accreditation reviews were conducted in 2015-16 for CAEP (formerly known as NCATE) for programs in the College of Education. The resulting reports are used internally but are not published to the public.