Working Group – Standard VI – Planning, Resources, and Institutional Improvement
Interim Report #2 – May 31, 2020

Part I: Standard Overview

Standard VI is a sweeping assessment of large scale, University-wide policies and processes. This standard requires the committee to see how Mercyhurst works to ensure not only that individual units are well resourced and forward looking, but how those individual units fit together to meet the mission and goals of the institution as a whole. Our task was to examine if and how different units of the University articulate a clear procedure for planning and implementation of Mercyhurst's programs and services with an eye toward collecting data that allows for measurable assessment and concomitant improvement.

In seeking data to show how Mercyhurst's processes, resources, and structures work together to allow us to fulfill our educational mission to our students, the committee was challenged to push beyond what might be called "institutional folk knowledge"—things that different individuals might know (or think they know)—to find whether and where clear evidence of policy and procedures exists that will help give unit leaders, and constituents, the ability to respond to an ever changing higher education landscape.

Part II: Review of Evidence

Standard: *VI-7 and ROA 11*
Evidence Name: *Annual Financial Audit*

- **Do we have it?** *Annual independent audits are conducted in accordance with auditing standards generally accepted in the United States of America as well as standards applicable to financial audits contained in Government Accounting Standards issued by the Comptroller General of the United States. An unmodified audit opinion indicates that the financial statements are presented fairly in all material respects, which indicates financial viability. Financial Statements for each fiscal year are issued at the conclusion of each annual audit, and they are maintained by the Finance Office of the University.*
- **Do we use it?** *An annual audit and resulting Financial Statements are required by a variety of federal, state, and local governmental and regulatory agencies, bondholders, granting agencies, banks and investment firms, donors, the University's Board of Trustees, and other constituencies. The annual Financial Statements are regularly used by University staff, primarily in the Finance Office, to complete compliance requirements, prepare analyses and projections, and respond to a myriad of financial information requests.*
- **Does it work?** *Annual independent audits and Financial Statements issued with an unmodified audit opinion confirms the University's financial viability. The Financial Statements document the University's financial resources, funding sources, and the purposes and uses of those resources.*

Standard: *VI-7 and ROA 11*

Evidence Name: *Annual Management Letters*

- **Do we have it?** *Annual Management Letters are received each year as part of the Annual Independent Audit. The letter outlines the auditor's review of the University's internal control environment and identifies areas of improvement in the internal control system. Specific areas for improvement are classified into three categories of deficiencies: material weakness, the most serious deficiency, where there is a reasonable possibility that a material misstatement of the financial statements will not be prevented, or detected and corrected, on a timely basis; significant deficiency, a deficiency that is less severe than a material weakness, yet important enough to merit attention by those charged with governance; and a deficiency, the least severe of the three types of deficiencies, and can include control objectives that are either missing or are not properly designed to meet the control objective. The Annual Management Letters for each fiscal year are maintained by the Finance Office of the University.*
- **Do we use it?** *The Annual Management Letter, including management's responses and action plans for each of the deficiencies identified in the report, is reviewed by the Audit Committee of the Board of Trustees at its Fall meeting. The report is also made available to every member of the Board of Trustees. The Audit Committee also reviews a status report of management's responses and action plans for each of the comments at its Spring meeting. Finally, management uses the Annual Management Letter as one means of ensuring continuous improvement of the University's internal control system. As part of the annual audit, the auditors review the previous year's Annual Management Letter to ensure that the action plans outlined by management have been implemented. Based upon their review, the auditors will determine whether or not the deficiency needs to be reissued in the current year's Annual Management Letter.*
- **Does it work?** *The Annual Management Letter serves as one mechanism to ensure continuous improvement in the University's internal control system. The review by the Audit Committee of the Board of Trustees of the status of management's corrective action plans as outlined in the Annual Management Letter demonstrates monitoring and follow up of the report by University governance.*

Standard: *VI-9 and ROA 10*
Evidence Name: *Annual State of the University Address 2018-2019*

- **Do we have it?** *The address is created by the Director of Public Relations in concert with the President's Cabinet. It is updated each year.*
- **Do we use it?** *The State of the University Address is provided to the University each Fall as faculty return to campus for a new academic year. The overall themes presented in this document are frequently used by vice presidents and departmental units as the year progresses.*
- **Does it work?** *The creation of this document serves as an opportunity for much of the campus to review the past year for the successes and failures as we look forward to the next year. It also provides a key enrollment update that the University's employees who are not in the enrollment management unit. It also serves as a way for the various*

administrative units to learn about the successes of their colleagues over the past year as well as challenges that need to be met.

Standard: *VI-1, VI-8 and ROA 8, 9, and 10*
Evidence Name: *Assessment Handbook*

- **Do we have it?** *The Assessment Handbook (most recent from Fall 2019) is available through the Office of Institutional Effectiveness and is available in the Assessment and Accreditation section (under the Academics tab) on the University's Hub.*
- **Do we use it?** *The Assessment Coordinator, working with Department Chairs, uses the Handbook as a guideline for the specifics of assessment planning and reporting. Assessment is intended to help departments not only engage in critical self-reflection about whether its program m polices are producing explicated student learning outcomes, but also to determine if and how the department's curriculum and policies advance the mission, vision, and core values of Mercyhurst University*
- **Does it work?** *The Assessment Handbook clearly states objectives for the units within the University and explains who the assessment process is to function. The Assessment Coordinator and Associate Provost for institutional effectiveness would be the two individuals on campus who determine whether the policies and procedures described in the Handbook are implemented.*

Standard: *VI-5 and ROA 7, 11, and 12*
Evidence Name: *Board of Trustees Meeting Minutes Winter 2018 – Winter 2020*

- **Do we have it?** *The minutes are housed with the Board Services team, specifically with the Executive Director of Events and Board Services. Given that the Board of Trustees is the University's governing body, official minutes are kept for the Board's three annual meetings as well as all committee and subcommittee meetings.*
- **Do we use it?** *The minutes document all official board activity (motions and voting) and keep a historic record of the decision-making process that the board undertakes each meeting. The minutes also include brief highlights from the University's vice presidents who make quarterly reports for the Trustees.*
- **Does it work?** *The minutes are official record of University business and how decisions are made. They therefore serve as a valuable resource for assessment of decision-making processes and for record-keeping purposes.*

Standard: *VI-5, VI-8 and ROA 10 and 11*
Evidence Name: *Budget Management Policies and Procedures*

- **Do we have it?** *There are several Budget and Management Policies and Procedures documents which are available from the Budget Team. They have been recently updated and improved.*
- **Do we use it?** *The Budget and Management Policies and Procedures forms are implemented consistently throughout the fiscal year. They are used to request additional funding for capital and specific projects. They are also used to instruct budget directors*

on the procedures of budget entry and reallocations to more accurately reflect the actual expenditures.

- **Does it work?** *The Budget Management documents have been helpful in instructing the budget directors and making them more integral to the budgeting process. The budgeting process provides a system of accountability for budget directors and therefore provides measures to assess the adequacy and efficiency of institutional resources.*

Standard: *VI-9 and ROA 11*
Evidence Name: *Comparative Cash Graph*

- **Do we have it?** *A Comparative Cash Graph showing the University's total cash and cash equivalents on a monthly basis is maintained for several fiscal years. The report is maintained by the Finance Office of the University.*
- **Do we use it?** *The Comparative Cash Graph is used by University management as one tool to monitor the adequacy of current cash reserves and project the need to use either long-term investments, or the line of credit, to supplement operating cash during the summer months when cash is typically at its lowest point during the fiscal year. The Comparative Cash Graph is presented to the Budget and Finance Committee for review at each of its three meetings during the fiscal year.*
- **Does it work?** *Since the Comparative Cash Graph is an historical snapshot of the University's cash position at any given month, it is useful in showing trends and the availability of cash resources over several fiscal years, but less effective in monitoring the University's cash position on a daily basis.*

Standard: *VI-5 and ROA 11*
Evidence Name: *Conflict of Interest Policy*

- **Do we have it?** *A Conflict of Interest Policy (the Policy) is maintained by the University's Board of Trustees. The Policy covers the University's Board of Trustees, the President's Cabinet, and other University Officers who are not members of the President's Cabinet. The Policy governs disclosure and conduct of business relationships and transactions between those covered by the Policy, certain related family members of the covered individual, and the University. An annual disclosure statement outlining either compliance with the Policy or identification of potential conflicts with the Policy is required from each individual covered by the Policy. Individuals are required to update any new conflicts or changes to previously disclosed conflicts if anything arises in between the annual disclosure statement. The Policy is maintained by the Executive Director of Events and Board Services, who is a member of the President's Cabinet.*
- **Do we use it?** *The Conflict of Interest Policy and the annual disclosure forms are reviewed by the Executive Committee of the Board of Trustees on an annual basis. The Audit Committee also is charged with monitoring the Policy and completion of the annual disclosure statements on an annual basis. Finally, the annual disclosure statements are provided to the Vice President for Finance and Administration, General Counsel and Vice President for Legal Affairs, Director of Finance and Budget, and the independent auditors.*

- **Does it work?** *The Policy defines the processes wherein conflicts of interest are disclosed and explains how covered individuals are required to abstain from any action involving an area of conflict.*

Standard: *VI-9 and ROA 5*
Evidence Name: *Continuing Disclosure of Bond Compliance*

- **Do we have it?** *The University's bond issues outline disclosures that are required to be made to remain in compliance with the legal documents and covenants that comprise the bond documents. These requirements are outlined in a Continuing Disclosure Agreement (the Agreement) for each bond issue. The purpose of the Agreement is to keep the bondholders apprised of the University's finances and other key information and operational data through an Annual Filing, as well as to notify bondholders of specific events impacting the bonds, such as bond rating changes. The content of the Annual Filing is unique to each bond issue and it must be filed with the Municipal Securities Rulemaking Board (MSRB) through its Electronic Municipal Market Access (EMMA) system by October 31st of each year to remain in compliance with the bond documents as well as various rules promulgated by the Securities and Exchange Commission (SEC). In addition to posting these filings on EMMA, copies of all filings are maintained by the Finance Office of the University and shared with key constituents as required by the applicable Agreement.*
- **Do we use it?** *The Annual Filing contains the Audited Financial Statements, along with an Appendix of historical data on the University's history, governance, accreditation, principal officers, facilities, academic programs, enrollment, applications and acceptances, student quality, student housing, student fees, and competition. The data contained in the Annual Filing are often used to complete annual surveys and other compliance requirements.*
- **Does it work?** T*he Annual Filing provides an assessment of the effectiveness of the University's planning, resource allocation, and availability of resources at the institutional level.*

Standard: *VI-2 and ROA 9*
Evidence Name: *Course Change Form*

- **Do we have it?** *The form is housed on the Mercyhurst Hub under the Provost's page. It is available as an editable Word document.*
- **Do we use it?** *The form is used to make changes and/or corrections to course listings, to the course numbers, descriptions, and credits earned. The document also seeks information as to the change's impact to the REACH curriculum or impacts to other programs.*
- **Does it work?** *The document effectively offers appropriate approvals from APAC, the Department Chair, Dean and Provost. Any changes must have the concurrence of these parties in order for the request to be implemented.*

Standard: *VI-2 and ROA 9*
Evidence Name: *Course Equivalency Guide*

- **Do we have it?** *The Guide is available through the Mercyhurst Hub under the Provost's page. It is provided as a PDF document.*
- **Do we use it?** *The guide is regularly communicated to faculty to ensure learning experiences for students meets accreditation requirements. The guide outlines in specific details how faculty may substitute alternative learning applications for classroom time.*
- **Does it work?** *The details provided offer guidance to faculty to follow and ensure adequate learning occurs by students. It also provides specific examples to assist the instructors on how to appropriately calculate time equivalents so standards are maintained.*

Standard: *VI-8 and ROA 7*
Evidence Name: *Emissary (student) Program*

- **Do we have it?** *The Emissary Student Program brochure can be found on the University's Hub. It explains the Program's mission, goals and schedule.*
- **Do we use it?** *The first Student Emissary Cohort was this academic year 2019-2020. This Cohort will not complete the program until the following academic year.*
- **Does it work?** *The program will provide the students enrolled with a strategy to support the Mercy Heritage, strengthen student-faculty bonds, and enable the cohort to realize the human and spiritual values embedded in everyday realities and to exercise leadership in service toward a just world, which is the Mercy way.*

Standard: *VI-1 and ROA 12*
Evidence Name: *Emissary Article*

- **Do we have it?** *The Emissary Article is on the Mercyhurst Hub. It was written in the Winter of 2019 to explain the Emissary program.*
- **Do we use it?** *The Emissary Article explains the Emissary Program, how it works and how it will for the future to keep the Mission of the Sisters of Mercy alive and well.*
- **Does it work?** *The Emissary program, since its inception in 2016-2017, has had approximately 120 individuals successfully complete the program. For 2019-2020 there are two cohorts, one of which is the first group of Mercyhurst students.*

Standard: *VI-8 and ROA 7 and 12*
Evidence Name: *Emissary Documents (multiple)*

- **Do we have it?** *The Emissary documents are housed on the University's Hub. They are the brochures for the Emissary program and the new Student Emissary program.*
- **Do we use it?** *The brochures describe the Emissary program, its mission, goals, facilitators, and its schedule. The brochures are a helpful reference for those interested or potentially interested in completing the program.*

- **Does it work?** *The documents describe the goals of the Emissary programs which empowers cohorts to be guardians of the Mercy and Catholic education; to develop and embody a whole new way of Mercy leadership in higher education; and to ensure that the Mercy Heritage is carried on into the future so that we are an honest, hope filled mission community.*

Standard: *VI-1 and ROA 7 and 10*
Evidence Name: *Employee Handbook*

- **Do we have it?** *The Employee Handbook is maintained and housed in the Human Resources Department. It is made available to employees electronically through the Human Resources Employee Hub site* *https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_HumanResources* *as well as shared annually when it is updated each June 1st. The current version was updated and implemented June 1, 2019.*
- **Do we use it?** *The Employee Handbook is the guideline for procedures, policies and benefit administration at the University. It assists in carrying out the mission and ensuring employees follow these policies in their daily job responsibilities as a representative of Mercyhurst University.*
- **Does it work?** *The Employee Handbook is a constant reference point for decision making, policy creation, and implementation as it offers direction for employment-related decisions at various levels.*

Standard: *VI-5 and ROA 12*
Evidence Name: *Faculty Handbook*

- **Do we have it?** *The Faculty Handbook is housed in two locations: The Provost's page on the Mercyhurst Hub (under the "Provost Office Documents" tab) as well as the Blackboard site of the Faculty Senate.*
- **Do we use it?** *The document is used by faculty and administration in its understanding of University structure (pp. 2-6), description of faculty governance (pp. 6-13), the explication of faculty roles and responsibilities (pp. 13-18), descriptions of general faculty policies, including appointments and performance evaluation criteria (18-34), the delineation of tenure policies and procedures (pp. 34-43), description of faculty salaries and benefits (43-49), description of general University policies (pp. 49-56), the faculty and support services available (56-60), and faculty policies concerning students (60-62).*
- **Does it work?** *The Faculty performs its functions at the University following the policies and procedures explicated in the Faculty Handbook. The Faculty Handbook Committee (p. 9) monitors the handbook and its usefulness and accuracy. The specific process to change the Faculty Handbook is described in section III.C.6: Voting Policies and Procedures (p.8).*

Standard: *VI-2 and ROA 12*
Evidence Name: *Faculty Senate Meeting Minutes*

- **Do we have it?** *The Minutes available through the Faculty Senate Executive Committee via email prior to Senate meetings and housed on the Faculty Senate's Blackboard page.*
- **Do we use it?** *The Faculty Senate Meeting Minutes would be a resource for documenting the constituent participation taking place in the Faculty Senate. This is a representative body for the University's faculty and is the way the actions undertaken at the meetings are documented and provided to that representative body.*
- **Does it work?** *These minutes are evidence of Faculty Senate participation in shared governance. It is a clearly documented communication process that allows for constituent planning and participation.*

Standard: *VI-9 and ROA 5*
Evidence Name: *FISAP*

- **Do we have it?** *The FISAP report is an annual report required by the Department of Education for schools that currently participate in Campus Based Aid programs. The FISAP is housed in both Student Financial Services and the Finance Department.*
- **Do we use it?** *The FISAP is used for reporting the previous year's expenditures and requesting funding for the upcoming year in the Campus Based Aid programs.*
- **Does it work?** *Completing the FISAP assures the continued funding of the Campus Based Aid Programs such as FSEOG and the Federal Work Study. These programs and this funding are critical in providing needed aid to deserving students that qualify.*

Standard: *VI-3, VI-4, and ROA 10*
Evidence Name: *Freshman Course Preference Survey*

- **Do we have it?** *This is a standard survey sent to incoming freshmen.*
- **Do we use it?** *The survey solicits information for desired courses in the freshman's first semester. The questions seek guidance on what classes are of interest for the students to ensure their first experience on campus meets their needs and expectations.*
- **Does it work?** *The students respond to the survey and courses are selected during the summer by University staff. This helps provide data to help fulfill students' educational objectives as well as provide information about where further instructional resources might be needed.*

Standard: *VI-9 and ROA 10*
Evidence Name: *Fundraising Reports*

- **Do we have it?** *Fundraising reports are produced by University Advancement and are provided to the Board of Trustees Committee on Advancement. Reports are available via University Advancement.*
- **Do we use it?** *Fundraising reports allow for a year-to-year comparison of performance by the University's Advancement Department. The strengths/weaknesses of this performance should be considered when allocating the Advancement Department's annual budget.*
- **Does it work?** *Advancement receives periodic budgetary adjustments based upon performance needs such as operational and staffing resources.*

Standard: *VI-1 and ROA 12*
Evidence Name: *Hurst Responders*

- **Do we have it?** *Yes, Hurst Responders is a student-driven volunteer platform developed to support the Department of Community Engagement and the Erie community. Any Mercyhurst student can follow the account on social media and respond to various campus and community-based needs, typically on a one-time basis. There is a quick link on the Student HUB page under the Mission dropdown>Community Engagement. Students can click on various social media links, as well as complete an interest form to volunteer.*
- **Do we use it?** *Yes, the Hurst Responders Instagram page* (https://www.instagram.com/hurstresponders*) documents, via photos, all the numerous volunteer projects completed by Hurst Responders, both on our campus and in the Erie community.*
- **Does it work?** T*he Hurst Responders program has contributed to the completion of many volunteer projects that directly improve our campus and surrounding community.*

Standard: *VI-1, VI-2 and ROA 9 and 10*
Evidence Name: *IDEA Diagnostic Instrument*

- **Do we have it?** *The IDEA diagnostic tool is used for every section of every course taught by Mercyhurst faculty. Information about this diagnostic tool is available under the Assessment & Accreditation folder under the Academics tab on the Mercyhurst Hub.*
- **Do we use it?** *IDEA is a key component in the evaluation of teaching effectiveness at Mercyhurst. Individual faculty members, Department Chairs, Deans, and the Rank & Tenure Committee use these data.*
- **Does it work?** *The IDEA student satisfaction survey has only been used on a University wide scale starting in Fall of 2018. The Office of Institutional Effectiveness hosted multiple workshops explaining how to understand and use that data found within the IDEA course reports. The goals and procedures for using IDEA are clearly articulated. Faculty members receive results and discuss them with their Department Chairs. These results are used both in the Rank & Tenure process as well as in the review of faculty members' performance. Further data gathering and review are required to determine if the data provided are an accurate reflection of teaching effectiveness at Mercyhurst and/or if the data provided allow for concrete, measurable improvement over time.*

Standard: *VI-9 and ROA 11*
Evidence Name: *Indirect Cost Rate*

- **Do we have it?** *The Indirect* Cost *Rate Proposal is the ratio between the total indirect expenses and a direct cost base. It is calculated every three years.*
- **Do we use it?** *An Indirect Cost Rate is a mechanism for determining fairly and conveniently what proportions of an organization's administration costs each of their projects/ contracts should be charged.*
- **Does it work?** *The Indirect Cost Rate effectively allocates the institution's resources in a fair and objective manner when and where appropriate.*

Standard: *VI-5 and ROA 10*
Evidence Name: *Information Technology Policies and Procedures*

- **Do we have it?** *Information Technology Policies and Procedures are available as a section of the Employee Handbook (Section 1.7, pages 9-13) as well as posted on the IT Services Hub Site https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_ITServices/SitePages/IT-Policies.aspx). They are also publicized for students as well on the Student Hub, so they are also aware of the IT Services available and the guidelines for use of various IT resources https://lakersmercyhurst.sharepoint.com/sites/SPO_STU_ITServices/SitePages/IT-Policies.aspx*
- **Do we use it?** *The Information Technology Policies and Procedures guide the use of University computer equipment, networks, email accounts, as well as assists to support class instruction and campus events and student activities.*
- **Does it work?** *The Information Technology Policies and Procedures are carried out by the Information Department and cover the topics of acceptable use, security, and privacy. They also outline procedures for monitoring IT resources and offer levels of protection of University systems and access through Authentication Management. Having these IT policies in place is critical in that so many aspects of employee and faculty responsibilities involve the use of technology and the sharing of information on different levels and various channels.*

Standard: *VI-3, VI-4, and ROA 11*
Evidence Name: *Insurance Summary 19-20*

- **Do we have it?** *The Insurance Summary 19-20 is an executive summary of the University's Insurance Program by line of coverage, carrier, policy term, annual premium, and a summary of policy limits and deductibles for Fiscal Year 2019-2020. The Insurance Summary is prepared annually by the University's Insurance Broker, and it is maintained by the Finance Office of the University.*
- **Do we use it?** *The document is used primarily by the Finance Office staff in determining the appropriate line of coverage to access for an insurance claim, and to answer questions from the University community concerning coverage.*
- **Does it work?** *The Insurance Summary is used to assist in financial planning, preparation of the annual budget, and risk assessment to the University in various lines of coverage. The Insurance Summary is also used to compare quotes from various carriers on an annual basis at the time the policies are renewed.*

Standard: *VI-9 and ROA 5 and 8*
Evidence Name: *IPEDS Webpage*

- **Do we have it?** *The IPEDS report is the Integrated Postsecondary Education Data System Report. It is updated yearly and submitted by Sheila Richter. The Financial portion is updated by Finance and housed in Finance.*

- **Do we use it?** *The IPEDS report finance portion provides context for understanding the resources and costs of providing postsecondary education. It can be used by participating institutions oneself to similar institutions and it provides valuable data to analyze where institutions' revenues are generated, and expenses are incurred.*
- **Does it work?** *The IPEDS report provides a yearly assessment of the institution's revenues and expenses by category and location.*

Standard: *VI-2, VI-3, VI-4, VI-6 and ROA 10*
Evidence Name: *IT Roadshow*

- **Do we have it?** *The IT Roadshow is available for employees/departments to request a visit from a member of the IT department. A request for this service is available on the IT Services Hub site at https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_ITServices/SitePages/IT-Roadshow.aspx*
- **Do we use it?** *The use of the service would have to be confirmed by the Information Technology website, but it was publicized with employees when introduced and continues to be a service that can be requested when convenient for the employees/department that is found on the IT Services Hub site https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_ITServices/SitePages/IT-Roadshow.aspx*
- **Does it work?** *It is a great way to have in-person demonstration on various IT topics and issues that cover such topics as Office 365/Teams/OneDrive, Phones/Voicemail set up and features, Printing/Scanning, Colleague/Informer usage, and Account Security. It increases communication and dialogue with the IT department and allows for a more personal lesson. Having a service like this available for employees and departments can help to streamline communication and assist in improving productivity and efficiency across various areas of the University.*

Standard: *VI-8 No ROA*
Evidence Name: *IT Ticket System*

- **Do we have it?** *The IT Ticket System is located on the IT Services Hub page and highlighted there https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_ITServices. It is also a quick link on the main Employee Hub site at https://lakersmercyhurst.sharepoint.com/sites/EmployeesHub as well as the Student Hub site at https://lakersmercyhurst.sharepoint.com/sites/StudentsHub*
- **Do we use it?** *The IT Ticket System was implemented to trouble shoot issues with various IT systems-email, the Colleague system, equipment problems, as well as access inquiries. It can also be used to request a bus or vehicle service.*
- **Does it work?** *A Mercyhurst employee or student logs into the Hub, clicks on the IT Support Ticket icon and it starts by asking the IT Help Topic. Based on the user's selection, it will ask further questions and gather details about the inquiry. Once submitted a receipt is emailed and a member from the designated IT area will reach out*

regarding the ticket request. Once it has been resolved, notification that the ticket is closed is also emailed to the employee. Analysis of resolution time can help assess the efficiency of IT in supporting various units of the University.

Standard: *VI-5 and ROA 5*
Evidence Name: *Job Descriptions*

- **Do we have it?** *Employee Job Descriptions are a main component for the hiring process and are a source of guidance for the structure and planning for the various areas that make up the University. Job descriptions provide employees with standards regarding their role in the department and the overall functions of the University.*
- **Do we use it?** *Job Descriptions are used in the approval process to hire into a vacant position and are also required in the requisition process when a department is requesting the creation of a new position.*
- **Does it work?** *Job Descriptions allow each department to manage the duties and responsibilities of each employee which influences the goals of that department. Job descriptions align the goals of the department and collectively, along with other areas of the University help to achieve the overall goals and mission of the University. They are also used as guidelines to ensure employees duties and experience align with workplace laws and regulations.*

Standard: *VI-8 and ROA 8*
Evidence Name: *Maintenance Ticket System*

- **Do we have it?** *The Maintenance Ticket System is located as a quick link on the main Employee Hub page.*
- **Do we use it?** *The Maintenance Ticket System was implemented to request any maintenance related work: Electrical, Heating/Cooling, Plumbing, and Building maintenance (door repairs, ceiling tiles, lights, etc..). Landscape/Grounds maintenance and Custodial services are also performed by this department.*
- **Does it work?** A*n employee accesses the work request form using the quick link on the Employee Hub page. Their contact and office information, along with a description of the work they are requesting, is submitted. A confirmation email is received and a staff member from the appropriate maintenance team will then reach out for further details and a date and time for performing the requested work. Analysis of resolution time can help assess the efficiency of Maintenance in supporting the physical plant used by various units of the University.*

Standard: *VI-1, VI-2 No ROA*
Evidence Name: *Mercy Mission Survey*

- **Do we have it?** *The "Mission Accountability Self-Study and Peer Review" document is also found in this Hub location and we assume in the Office of the Vice President for Mission Integration.*
- **Do we use it?** *Per the mission self-study: "Adopted in 2006, Mercyhurst University's vision, mission and Core Values have proven to be very effective engines for the*

institution. Throughout various meetings and discussions related to this self-study, it has been pointed out repeatedly that the Mission Statement and Core Values speak well to the University as it stands today, but that the Vision Statement does not speak so directly to the current strategic initiatives of the University. It will be helpful to revisit that Vision Statement in the coming years."

- **Does it work?** *Again, per the mission self-study: "As Mercyhurst University continues to reflect on the information gathered in this self-study and considering the University's ongoing strategic planning and approaching centennial, many areas for growth and renewed emphasis emerge. These areas of continuing action and reflection will be organized once again around the [**C**onference for **M**ercy **H**igher **E**ducation's] Mission Core Areas. Each goal or initiative is accompanied by a priority level and a target timeframe." The goals/initiatives to use mission, vision, and core values in future planning are: Curricular Development and Integration, Hiring, Orientation and Onboarding, Ongoing Formation for Mission, Space, Art and Symbolism, Worship and Reflection, Engagement in Community and Celebrations, Sponsorship, CMHE and Ecclesial Relations, and Catholic Social Teaching in Action.*

Standard: *VI-8 and ROA 10*
Evidence Name: *MFA Setup Instructions and FAQs*

- **Do we have it?** *The Multi Factor Authentication Setup Instructions and FAQ are available on the IT Services Hub page.*
- **Do we use it?** **A***ll employees and students must utilize MFA, which requires more than one method of authentication, when logging in to their University accounts.*
- **Does it work?** *MFA is a two-step verification process that presents a significant challenge to anyone attempting a cyber-attack. It prevents others from logging in under your credentials and provides high security for all proprietary and personal information housed in the University databases.*

Standard: *VI-1 and ROA 7*
Evidence Name: *Mission, Vision, and Core Values*

- **Do we have it?** *Material about Mercyhurst's Mission, Vision, and Core Values is found in a dedicated section on the University's Hub. Information explicating the mission, and those staff dedicated to certain non-academic elements of its fulfillment, are available to the Mercyhurst community. Further the "Mission Accountability Self-Study and Peer Review" document is also found in this Hub location.*
- **Do we use it?** *Per the mission self-study: "Adopted in 2006, Mercyhurst University's vision, mission and Core Values have proven to be very effective engines for the institution. Throughout various meetings and discussions related to this self-study, it has been pointed out repeatedly that the Mission Statement and Core Values speak well to the University as it stands today, but that the Vision Statement does not speak so directly to the current strategic initiatives of the University. It will be helpful to revisit that Vision Statement in the coming years."*

- **Does it work?** *Again, per the mission self-study: "As Mercyhurst University continues to reflect on the information gathered in this self-study and considering the University's ongoing strategic planning and approaching centennial, many areas for growth and renewed emphasis emerge. These areas of continuing action and reflection will be organized once again around the [Conference for Mercy Higher Education's] Mission Core Areas. Each goal or initiative is accompanied by a priority level and a target timeframe." The goals/initiatives to use mission, vision, and core values in future planning are: Curricular Development and Integration, Hiring, Orientation and Onboarding, Ongoing Formation for Mission, Space, Art and Symbolism, Worship and Reflection, Engagement in Community and Celebrations, Sponsorship, CMHE and Ecclesial Relations, and Catholic Social Teaching in Action.*

Standard: *VI-8 and ROA 9 and 10*
Evidence Name: *Modified USE Survey – Student Satisfaction*

- **Do we have it?** *This survey is sent to students seeking input on a variety of University campus life.*
- **Do we use it?** *The survey is sent asking for information on 15 different areas including but not limited to IT, Library, Food Service, etc. The survey provides students an opportunity to offer insights and information on their campus experience.*
- **Does it work?** *The feedback is shared anonymously with the appropriate campus administrators. The results of the survey help measure the adequacy of resources available for students and provide data to determine whether students' needs are being met.*

Standard: *VI-2 and ROA 9 and 10*
Evidence Name: *New Program Application*

- **Do we have it?** *This document is available on the Mercyhurst Hub from the Provost's page. The Word document is eligible for download by the faculty member who desires to offer a new program of study.*
- **Do we use it?** *This document is used to apply for a new program by faculty. It requests a detailed overview, analysis, course of study requirements, recommended course completion outline, and learning outcomes. The request must be approved by APAC, Faculty Senate, Department Chair, Dean, and Provost, then sent to the Registrar's office for filing and programming.*
- **Does it work?** *The form and University governance hold Faculty and Administration accountable to ensure a process is followed to consistently review and approve programs that advance the mission of the University. Additionally, the Registrar's office regularly refers to the approved document for any clarifications needed.*

Standard: *VI-5 and ROA 12*
Evidence Name: *Organizational Chart for Academics*

- **Do we have it?** *The organizational chart for academics can be found via a link on the Provost's Office Staff page on the Mercyhurst Hub*

- **Do we use it?** *As of this reporting the academic organizational chart is out of date as far as specific personnel in specific offices. This suggests that faculty and staff rely more on word of mouth or memory when it comes to understanding reporting lines than this specific resource.*
- **Does it work?** *That the chart is out of date suggests that this specific resource is not consulted regularly. However, one can assume that employees know who their direct superior is. The specific heads of units would know how accurate that assumption is. While out of date as far as personnel goes, these charts show a clear chain of reporting and should be able to clarify any confusion in the reporting structure if consulted.*

Standard: *VI-3, VI-4, VI-9 and ROA 11*
Evidence Name: *Personnel Action Form*

- **Do we have it?** *The Personnel Action form (PAF) is a key form used to generate employee and budgetary changes on many different levels. It is available on the HR Department Hub site at https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_HumanResources/Lists/Employment%20Documents/AllItems.aspx and available to be sent electronically by a Human Resources staff member when requested. A Student Personnel Action form was also created to streamline and keep separate the hiring of student positions.*
- **Do we use it?** *The Personnel Action Form is used for various requests and changes such as hiring new employees, stipend requests, salary changes, employee change in status, updates to budgets where employees are charged, as well as employee termination notifications. It is the form that triggers employment actions and system updates for employee position and status changes.*
- **Does it work?** *The Personnel Action Form is typically completed by a department supervisor or Vice President. A weekly budget review of Personnel Action Forms is done. Any PAFs are submitted to Human Resources by 12:00 noon on Tuesdays and sent to a Finance member of the Budget Team. The PAFs are reviewed based on the budget numbers and allocations as well as totals and if they are budgeted, they are approved. Further review and approval by Vice Presidents or Provost is the next level of approval. New employee requests and updates to salaries or changes to positions are also sent to the President for final approval. Once Human Resources receives the approvals back, they are processed accordingly. If it is regarding the hiring of a new employee or a salary or position change of a current employee, an appointment letter is generated and again sent to the President for signature. Regarding student hiring, the level of approval typically stops at the Vice Presidents as they manage their student budgets.*

Standard: *VI-2 and ROA 9*
Evidence Name: *Programmatic Accreditation Chart*

- **Do we have it?** *This form is available through the Office of Institutional Effectiveness and is available in the Assessment and Accreditation section (under the Academics tab) on the University's Hub.*

- **Do we use it?** *The document is available to provide information on the various programs that have been accredited with links to the various accreditors' sites.*
- **Does it work?** *It is a quick reference guide that clearly documents the accreditations of various academic programs. This, in turn, allows members of accredited programs information about their programs' responsibilities.*

Standard: *VI-2, VI-5 and ROA 12*
Evidence Name: *Provost Council Meeting Minutes*

- **Do we have it?** *The minutes of the Provost Council's meeting are not public. We assume that these documents are kept by the Provost's office and are accessible by the Council.*
- **Do we use it?** *We assume that the minutes probably serve as a collective memory of the Council's work as members work together to make macro-level decisions enabling multiple units to function together to serve the educational mission to our students.*
- **Does it work?** *Given the non-public nature of the minutes assessing the effectiveness of this particular record keeping is challenging. The Provost, and Council members, should be able to determine if the data found therein is consulted to plan and make data driven decisions for the future*

Standard: *VI-9 and ROA 11*
Evidence Name: *S&P Bond Rating Reports*

- **Do we have it?** *The S&P Bond Rating Report is issued by Standard and Poor's (S&P) at the completion of their annual review of the University. The annual review is usually completed in the late fall or early winter after the University's Annual Bond Compliance filing has been posted on EMMA. The timing of the review is generally at the discretion of S&P. The reports are public information. The reports are maintained by the Finance Office of the University.*
- **Do we use it?** *The report is primarily used by external bondholders, potential investors in the University's bonds, and financial institutions. The most recent S&P Bond Rating Report (the Report) for the University is dated January 30, 2020. In that Report, S&P downgraded the University's long term bond rating to BB with a Stable Outlook, based upon the University's intent at that time to issue additional bonds associated with the consolidation of its North East Campus. The University has since placed the bond financing on hold due to the COVID-19 Pandemic. On April 29, 2020, S&P issued a Revised Ratings Outlook on Certain U.S. Not-for-Profit Higher Education Institutions Due to COVID-19 Impact. In that Report, the University's long term bond rating changed to BB with a Negative Outlook.*
- **Does it work?** *The Report expresses S&P's opinion on the University's financial health based on a number of factors, including overall industry risk, market position and demand, management and governance, financial profile and available financial resources, and long term debt. While the report is considered by University management in its evaluation of whether to issue additional debt or incur other obligations, it is only one of many factors in the decision-making process.*

Standard: *VI-1 and ROA 5*
Evidence Name: *Satisfactory Academic Progress Policies and Procedures (from Catalog)*

- **Do we have it?** *The Academic SAP Policy is published in the Mercyhurst University Course Catalog in the Academic Affairs section. The SAP Policy for Financial Aid is published in the Mercyhurst University Course Catalog in the Student Financial Services section.*
- **Do we use it?** *The Academic SAP Policy is used to determine if each student has met the necessary requirements of satisfactory academic progress at the end of each academic year. The SAP Policy for Financial Aid is used to determine if each student has met the necessary requirements of satisfactory academic progress for receiving financial aid, at the end of each academic year.*
- **Does it work?** *Specific steps are clearly stated, based on the result of a student's SAP evaluation each year, to assess a student's academic progress: academic warning, academic probation, academic suspension and academic forgiveness. An appeal process is in place, based on the result of a student's SAP for Financial Aid evaluation each year.*

Standard: *VI-2 and ROA 12*
Evidence Name: *Staff Senate Meeting Minutes*

- **Do we have it?** *Meeting minutes are taken each week by the Staff Senate recorder and approved at the following Senate meeting. Minutes can be found by members of the Staff Senate on the Hub page.*
- **Do we use it?** T*hese minutes capture the activities undertaken during the Staff Senate meetings. This is a representative body for the University's staff and is the way the actions undertaken at the meetings are documented and provided to that representative body.*
- **Does it work?** T*hese minutes are a demonstration of the Staff Senate participation in shared governance. It is a clearly documented communication process that allows for constituent planning and participation.*

Standard: *VI-6, VI-9 and ROA 7, 9, and 10*
Evidence Name: *Strategic Plan – 2018-2020*

- **Do we have it?** *The document is available on the Mercyhurst external website and the document is complete. A new strategic plan is in the process of being created for approval in Fall 2020.*
- **Do we use it?** *The document is often used in the overall decision-making process at the University's cabinet level (per the Vice President for Strategic Initiatives).*
- **Does it work?** *This document helps drive the comprehensive planning for items like facilities, infrastructure, and technology that are essential for the maintenance of the University's overall physical plant. It is also an important tool for resource allocation in support of the University's mission and goals.*

Standard: *VI-8 and ROA 12*
Evidence Name: *Student Ambassador Program*

- **Do we have it?** *The Student Ambassador Program is under the Department of Admissions. It is a service-oriented student employment program that is focused on the Mercy Mission and the rich history of Mercyhurst University. Ambassadors are charged with being keepers of the Mercyhurst traditions established by the Sisters of Mercy. Their policies and procedures, for admission to the program and members' responsibilities, are presumably held by Admissions, but this information does not seem to be easily available on the Hub.*
- **Do we use it?** *Ambassadors conduct campus tours and must convey in-depth knowledge of the history of Mercyhurst and the Sisters of Mercy. They participate in service projects and social events, both on and off-campus. They also serve as mentors to other students interested in becoming an Ambassador. The requirements for Ambassadors in supporting the mission of the University are presumably coneyed to them by Admissions.*
- **Does it work?** *The Student Ambassador Program is an honored tradition at Mercyhurst University. They are an integral part of the recruitment process as they conduct family tours and actively participate in scheduled events for prospective students. They are also integral in the retention of current students, as they present a shining example of all that Mercyhurst represents and the core values of our school. They wear a prestigious and recognizable hunter green blazer that is earned only after a completed pledge period consisting of weekly meetings, a group processing day, interviews, a test, speech night, and a mock tour. They also carry the rich legacy of Mercyhurst with them upon graduation, applying all they have learned to their off-campus lives. Admissions presumably has information about the processes involved in selecting and training Ambassadors.*

Standard: *VI-3, VI-4, VI-6, VI-9 and ROA 10 and 11*
Evidence Name: *Substantive Change for Closure of the North East Branch Campus*

- **Do we have it?** *We assume that the information on the specifics of closure (including plans to handle both financial and logistical challenges) is available in the Office of the President, the Office of Chief Financial Officer, the Office of the Provost and in the material of pertinent Board of Trustees' committees.*
- **Do we use it?** *As the timetable for combining some programs has been moved up due to the COVID-19 emergency, we assume that the principles in charge of the closure are using the substantive change document to make sure winding down the North East campus follows approved guidelines.*
- **Does it work?** *In medias res it is difficult to ascertain the effectiveness of planning and procedures vis-à-vis the substantive change document. The Board of Trustees, Office of the President, Office of the CFO, and Office of Provost should have the data to make this determination.*

Standard: *VI-8 and ROA 10*
Evidence Name: *Tutoring Center Report*

- **Do we have it?** *This information is available to administration presumably Academic Support.*
- **Do we use it?** *It is provided to administration to offer an overview of tutorial utilization by students.*
- **Does it work?** *The data provide a detailed review of the tutoring center's use. It is brief but detailed. The top tutoring subjects offer a glimpse of the demands from students.*