Accountability Report Transmittal Form

Organization Name : University South Carolina Upstate

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2008-2009

State Accountability Report

UNIVERSITY OF
SOUTH CAROLINA
UPSTATE

<u>**Section I: Executive Summary**</u>

Vision, Mission and Values

Approved by the S.C. Commission on Higher Education, May 30, 2006   *Approved by USC Board of Trustees, June 29, 2006*

<u>**Vision:**</u>   The *University of South Carolina Upstate*, having distinguished itself as "the metropolitan university of South Carolina," anticipates earning recognition as one of the leading metropolitan universities of the nation.

<u>**Mission**</u> **:** The *University of South Carolina Upstate* aims to become one of the Southeast's leading "metropolitan" universities … a university that acknowledges as its fundamental reason for being its relationship to expanding populations along the I-85 corridor. It aims to be recognized nationally among its peer metropolitan institutions for its excellence in education and commitment to its students, for its involvement in the Upstate, and for the clarity and integrity of its metropolitan mission.

As a senior public institution of the University of South Carolina with a comprehensive residential campus in Spartanburg and commuting and degree completion operations at the University Center of Greenville, the University's primary responsibilities are to offer baccalaureate education to the citizens of the Upstate of South Carolina and to offer selected master's degrees in response to regional demand.

USC Upstate strives to prepare its students to participate as responsible citizens in a diverse, global and knowledge-based society, to pursue excellence in their chosen careers and to continue learning throughout life.

Curricula and services are designed for the University's students, four to seven thousand in headcount, who are diverse in background, age, race, ethnicity, educational experience and academic goals. Students are drawn in large proportion from the Upstate where many choose to remain for their careers. A broad range of major curricula are provided in arts and sciences and in professional fields of study required by the regional economy, including business, education, and nursing. Through on-site instruction, distance learning, continuing education and inter-institutional articulation agreements, both traditional students and working professionals are served across the region.

Consistent with the international character of the Upstate, the University promotes global perspectives across its programs. Supporting the regional employment objectives of most of its students, it provides extensive experiential learning opportunities.

The University's metropolitan mission rests upon a foundation of partnerships with the education, corporate and service organizations of the Upstate. The faculty provides leadership in promoting the Upstate's economic, social and cultural development. This is achieved through its teaching, professional and public service, basic and applied scholarship and research, and creative endeavors.

<u>**Core Values:**</u> The University's core values not only serve as the philosophical underpinnings of the institution's mission, but they serve to govern attitudes, behaviors, and decisions in daily activities among stakeholders. As such, the University of South Carolina Upstate affirms that…

People come first. We are committed to creating an inclusive environment wherein we respect our differences as we pursue our common academic purposes. Our employees, students, parents and partners are the University's most valuable assets. We aim to work hard, work smart and always do the right thing. We cooperate and collaborate with colleagues and constituents, aiming to be responsive,

flexible, accessible and friendly in our service. We strive to be good will ambassadors for the University, and to advance its reputation and its metropolitan mission.

Stewardship of resources is critical to accomplishing the University's mission. We understand the importance of evaluating and reflecting on our daily activities in order to gain the highest value in return for the University's and our own professional investments. As employees, we aim to apply principles of honesty and fiscal responsibility in order to conserve student, partner, and University resources as though they were our own.

Integrity as an academic institution drives our daily activities. That integrity includes a passion for teaching and learning, and a belief that every employee and student has a right to learn and progress as far as he or she is able. We seek, therefore, to provide a distinctive learning environment that supports and encourages employee growth and personal and professional development.

Major Achievements from Past Year (2008-09)

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1. Design and implement educational experiences that enable (facilitate) students to meet intellectual, social and career/professional objectives

   NCAA Choices Grant - Alcohol Education Grant in collaboration with Athletics; Health Services received two grants; athletic dept GPA – 3.0 spring; 5th annual Research symposium was held with participation from 10 colleges and over 250 attendees; awarded 30 internal grants to include undergraduate research assistantships; accepted third cohort of students into the Scholar's Academy; began dual enrollment with two area high school; began contract professional development courses in the Johnson College of Business and Economics; over 10% of current study body participated in summer study abroad programs; student exchange program has been established with China - first group of 10 Chinese students attending Upstate this fall.

2. Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.

   Wellness Center Opening; Magnolia House Opening; Villas upgrades including sprinklers and gates, also the addition of the guest apartment that faculty may utilize to host official visitors to campus; Campus Life Center Renovations which include expansion of service areas to Student Life and Student Organizations, Counseling Services, Disability Services; Implemented the 100 miles in 100 day program with + 100 employees participating; developed Spartans pride – school colors, spirit, apparel, visual enhancements, facility upgrades; Men's tennis earned USC Upstate's first team national ranking

3. Support implementation of outstanding academic programs.

   70% of first year full time students enrolled in University 101; 228 information literacy sessions with over 4500 student contacts were held by library faculty; new contracts with area health care facilities and schools (nursing and education); Major VI Grant and Special Education grant awarded by USDE for scholarships for students; Pathways to Teaching grant submitted in collaboration with SCC, Greenville Tech and Columbia; Collaborative of Children's Books and Literacy Collection at UCG; Awarded 30 internal grants to include undergraduate assistantships

4. Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.

   Ground breaking for the George Dean College of Business and Economics in downtown Spartanburg; focus on community engagement with hiring of a director of community engagement   men's soccer and women's softball are full division 1 eligible and can complete in post-season play; men's tennis received schools first ever national ranking; held fine arts camp in July 09; continue to host Evening of Great Conversations; host Youth Leadership Annual Conference; initiated a Global Classroom program with area elementary schools and South Africa; held public conferences on: Religious Symposium, Reflections on Foreign Language, Where's My Bailout;, Writers Series (Authors at Upstate); Robotics camp for area youth was successfully held; enrollment exceeded 5000 for the first time in fall 08; submitted 41 proposals for external funding (versus 25 from last year) with over 2 million dollars awarded; 4 of 5 faculty who applied for Columbia's Magellan Undergraduate Research Awards were funded; faculty presentations (national and international venues) and publications were increased this year; 11 School of Education alumni have been chosen as Teacher of the Year; Seven School of Education alumni were awarded National Board certification over the past two years; Nursing, business and education continues as the three programs with the largest undergraduate enrollment; Second volume of the USC Upstate Undergraduate Research Journal (in press)

5. Create enrollment capacity to meet the needs of the growing Upstate population.

Launched scholarship campaign to support educational opportunities; initiated additional articulation agreements; Opened the new Health Education Center adding new academic space for Nursing and Education, opened the new one-stop-shop enrollment management center and the wellness center; moved the majority of departments on campus consistent with the space management plans developed last year; began construction on the George Dean Johnson, Jr. College of Business and Economics in downtown Spartanburg; began construction of the Magnolia House to supplement freshmen housing on campus; 750 freshmen with parents and 600 transfer students attended summer freshman orientation; over 5,000 enrollment this year; launched a more student recruitment focused webpage; moved students to new email system that is hosted off site with file storage is now more than 1000 times larger than mailboxes students had previously; started dual enrollment on a local high school campus.

6. Pursue excellence in human resources, organizational effectiveness, financial, technological and workforce management and resource sustainability.

Work to upgrade our ageing wireless network including a campus site survey and deployment of Cisco wireless controllers and 295, 802.11N access points. The design was based on classroom occupancy to prepare for each student bringing a personal computer to class. Secured networks are provided for faculty and staff and open networks for faculty, staff, students and visitors; replaced 125 classroom / lab computers this summer (4 yr replacement cycle – do not plan to replace); secured and imaged 30 additional laptops for scholars academy; replaced 200 Faculty / staff computers (4 yr replacement cycle); deployed 50 laptops with pilot program to SOE at UCG, will continue to monitor and assess compared to students on Upstate campus in same program; outsourced student email - mailbox and file storage is now more than 1000 times larger than what they had; implemented the campus incident plan; achieved 95%+ compliance on completion of EPMS; Decentralized the budgeting process to include zero based budgeting completed by all departments; opened additional parking lots to make classroom and building access easier for students; trimmed the budgets of all divisions to meet declining budget scenarios without furloughs; completed and printed the Emergency & Safety Procedures Guide and distributed to all employees; increased wireless bandwidth on campus to allow for easy laptop access by students, faculty and staff; installed and implemented the SpartAlert System (emergency message notification system); outsourced web to improve preparedness for continuity and disaster recovery; to improve safety in athletics travel we purchased two 22 seat minibuses; implemented a universal review date for the EPMS.

Key Strategic Goals for Present and Future Years

The institution has six goals that we are focusing on:

1. Design and implement educational experiences that enable (facilitate) students to meet intellectual, social and career/professional objectives
2. Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.
3. Support implementation of outstanding academic programs.
4. Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.
5. Create enrollment capacity to meet the needs of the growing Upstate population.
6. Pursue excellence in human resources, organizational effectiveness, financial, technological and workforce management and resource sustainability.

Key Strategic Challenges

Key Strategic Challenges	
Educational	– For residents over the age of 25, Spartanburg has a very low percentage of college graduates -19% baccalaureate degrees compared to 23% statewide and 27% nationwide – High utilization of academic space- makes course scheduling and sequencing difficult. – Develop plan for funding faculty research/scholarship activity while maintaining desired student credit hours – Implement the plan to relocate the Johnson College of Business to a new facility in downtown Spartanburg.
Operational	– Lack of user-friendly, integrated data systems – Fully implement the consolidated one-stop-shop enrollment management program in the HEC – Implement the Wellness program to achieve campus goals for the program – Increase student retention with the consolidation of all Student Success functions in the Library Building and with major changes in organizational structure. – Integrate the strategic plan for USC Upstate with the overall USC plan. – Continue to expand housing facilities with the development of the Magnolia House opening next fall

Human Resource	− Lack of funding from the state results in less competitive salaries − Maintain staffing levels in various departments commensurate with the growth of campus programs − Current reliance on adjunct faculty due to a lack of slots needs to be addressed
Financial	− Funding for master plan development including the Library Building and the renovation of several major buildings − Funding for scholarships to address accessibility problems related to cost of attendance. − Increase state and other financial support to achieve a better distribution of funding among the primary sources and reduce the pressure for increasing tuition and fees. − Align private giving with institutional needs and achieve funding benchmarks.
Community Related	− Increase community collaborations and partnerships with service learning, research support, and contract work − Increase community awareness (in both Spartanburg and Greenville) through activities, conferences, and initiatives that build partnerships and reach out to the community − Work with the Spartanburg Chamber of Commerce, County Foundation, and others to impress upon residents the necessity of education beyond high school

How the Accountability Report is used to Improve Organizational Performance.

The accountability report is used as a resource to aid in effectively managing the University. It allows senior management to step back from their individual disciplines and responsibilities and view the institution as a whole. It also provides a framework for the analysis of our current goals, objectives, and tactics that we have prioritized for the upcoming year and to make modifications as needed.

Section II: Organizational Profile

In 1967, the university was founded in response to efforts undertaken by G.B. Hodge, M.D., together with fellow members of the Spartanburg County Commission for Higher Education, and a remarkably strong founding faculty, primarily to avert a serious health care labor shortage crisis when Spartanburg General Hospital announced plans to eliminate its diploma program for registered nurses. A citizen's committee investigated the situation and ultimately requested that Spartanburg be included in the University of South Carolina system. The Spartanburg Regional Campus, as it was first known, opened its doors in the fall of 1967 to 177 students on the first floor of the Spartanburg General Hospital nursing residence.

Enrollment continued to increase, which resulted in the school becoming a four-year university in 1975 and being renamed the University of South Carolina Spartanburg (USCS). During the next 20 years, the campus began to take physical shape with the construction of additional academic buildings, enrollment continued to grow and degree offerings were expanded.

In 1994, Dr. John C. Stockwell was named Chancellor of the University. He adopted a metropolitan mission for the institution and implemented a 10-year strategic master plan for the campus. The University's numerous partnerships with public and private corporations and other educational institutions, coupled with the mission to offer baccalaureate education to the citizens of the Upstate of South Carolina, led to a name change. On June 30, 2004, with USC Board of Trustees approval, USCS changed its name to the University of South Carolina Upstate. Today the University boasts a highly diverse student enrollment of more than 5,000.

Main Educational Programs and Services and the Primary Method of Delivery

USC Upstate has a wide variety of educational programs, primarily undergraduate. All undergraduate educational programs have classroom instruction as the primary method of delivery; however, several programs offer distance education via the internet and two-way interactive video conferencing.

Academic Programs

Undergraduate Majors : Biology, Business Administration, Chemistry, Communication, Computer Information Systems, Computer Science, Criminal Justice, Early Childhood Education, Elementary Education, Special Education/Learning Disabilities, Physical Education, Secondary Education, English, Art Studio, History, Interdisciplinary Studies, Mathematics, Middle Grades Education, Non-Profit Administration, Nursing, Political Science, Experimental Psychology, Sociology, Spanish, Information Management and Systems, Engineering Technology Management, Art Education

Graduate: Early Childhood Education, Elementary Education, Special Education: Visual Impairment
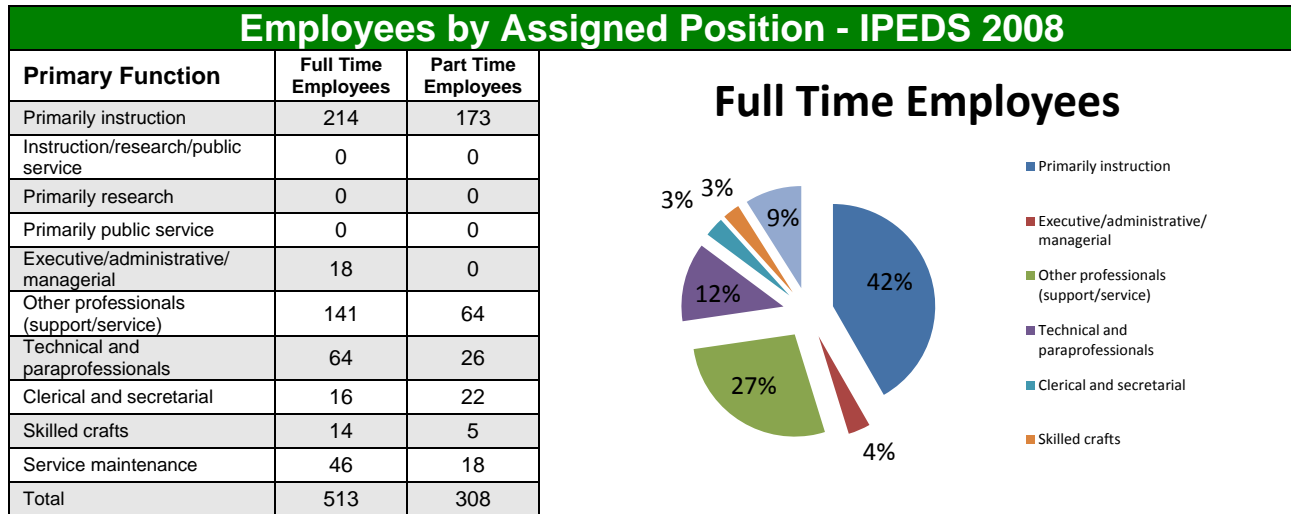
Expectations and Key Requirements

Requirements & Expectations					
Students	**FTF**	**TS**	**NTS**	**DES**	**GS**
Competitive Affordable Tuition	X	X	X	X	X
High Quality Faculty	X	X	X	X	X
Quality Academic Programs	X	X	X	X	X
Comprehensive Academic Support Services	X	X			
Course Availability (scheduling)	X	X	X	X	X
Financial Aid/Scholarship Assistance	X	X	X	X	
Updated Facilities and Technology	X	X	X		
Co-curricular Activities and Involvement	X	X			
Placements for Graduates	X	X	X	X	
Alumni	▪ Enhanced institutional stature to add value to their degree ▪ Networking opportunities				
Employers	▪ Access to well-prepared employees				
Faculty/Staff	▪ Competitive compensation ▪ Opportunities for professional growth and development				
Parents	▪ Safe environment ▪ Quality academic programs ▪ Comprehensive Academic Support Services ▪ Affordable quality education				
State	▪ Quality education for S.C. Students ▪ Compliance with standards				
Accrediting Agencies	▪ Compliance with standards				
FTF- First Time Freshmen, TS – Transfer Students, NTS- Non-Traditional Students, DES – Distance Ed. Students, GS- Graduate Students					

Operating Locations

USC Upstate's main campus and administrative operations are in Spartanburg. Upper division courses in a variety of majors are offered in Greenville through the University Center; upper division education courses are offered in Sumter via two-way conferencing; and upper division nursing courses (RN-BSN) are offered on-line.

Number of Employees by Category

Employees by Assigned Position - IPEDS 2008

Primary Function	Full Time Employees	Part Time Employees
Primarily instruction	214	173
Instruction/research/public service	0	0
Primarily research	0	0
Primarily public service	0	0
Executive/administrative/ managerial	18	0
Other professionals (support/service)	141	64
Technical and paraprofessionals	64	26
Clerical and secretarial	16	22
Skilled crafts	14	5
Service maintenance	46	18
Total	513	308

Full Time Employees

3% 3% 9% 42% 12% 27% 4%

- Primarily instruction
- Executive/administrative/ managerial
- Other professionals (support/service)
- Technical and paraprofessionals
- Clerical and secretarial
- Skilled crafts

Regulatory Environment

The administrative policies and procedures of USC Upstate are governed by the administrative policies and procedures of the University of South Carolina. The academic policies and procedures within the USC Upstate Faculty Manual have been developed and approved by the faculty of USC Upstate and also approved by the USC Board of Trustees. USC Upstate is also governed by the South Carolina Commission on Higher Education whose purpose is to serve as the state's coordinating board for public higher education by acting as an advocate for higher education and as an oversight entity for the State. SACS, Southern Association of Colleges and Schools, is the regional accrediting body for USC Upstate. Additionally, several academic programs have earned program accreditations, including the National Council for the Accreditation of Teacher Education (NCATE), The Association to Advance Collegiate Schools of Business (AACSB), Computer Science is accredited by the Accreditation Board for Engineering and Technology (ABET) and Nursing is accredited by the Commission on Collegiate Nursing Education (CCNE).

USC Upstate is committed to complying with all state and federal regulations to include, but not limited to: FERPA, FMLA, OSHA, DHEC, EPA, Clary Act, ADA, Civil Rights Acts, and other employment acts.

Governance System

USC Upstate is led by Chancellor John C. Stockwell. Chancellor Stockwell is charged by the USC Board of Trustees with achieving the mission and vision approved by the Board. The Chancellor is also charged with running the day-to-day operations of the University in compliance with all state, federal, and accrediting agency guidelines. The Chancellor's Cabinet consists of eight of the Chancellor's direct reports who are responsible and directly accountable for various administrative and academic enterprises on campus. The Senior Vice Chancellor for Academic Affairs has appointed a dean to lead the college, each professional school and the library.

USC Upstate is also advised by the Spartanburg County Commission for Higher Education. The Commission holds in trust the land on which the University sits on behalf of Spartanburg County. The Commission has legal responsibility for use of the property, land acquisition and condemnation. The Commission is also responsible for recommending the choice of the Chancellor. The Commission is composed of fifteen members appointed by the Governor on the recommendation of the resident members of the Spartanburg County Legislative Delegation for terms of four years each.

Key Suppliers and Partners

USC Upstate has a broad list of key suppliers and partners. Many of them play significant roles in assisting USC Upstate in the achievement of the mission, vision, values, and strategic plan.

Key Suppliers/Partners	Role
High Schools	Supplies quality students as entering freshmen
Two-Year Institutions	Supplies USC Upstate with qualified transfer students
USC Columbia	Provides central coordination of many administrative functions and serves as a source of strategic support
Alumni	Source of student referrals. Financial and institutional support and advice.
Employers	Source of jobs for graduates and assist in identifying changing needs in community
Community Partners	Source of advisory, financial and institutional support.

Key Competitors

Since approximately 94% of USC Upstate students are from within South Carolina; our competitors are primarily other S.C. institutions. USC Columbia, Clemson, Winthrop, The College of Charleston, Spartanburg Community College and Greenville Technical College are the top competitors for incoming freshmen. Articulation agreements are in place for the two year institutions to make it easier for students to transfer to USC Upstate even if they begin their undergraduate education at another institution. Wofford and Converse Colleges are the primary competitors for local private funding and all other public agencies within the state are competitors for state funding.

Principal Factors in Determining Competitive Success (KEY CHANGES TAKING PLACE THAT SIGNIFICANTLY IMPACT COMPETIVE SITUATION)

There are three primary areas for consideration in determining USC Upstate's principal factors for competitive success; they include competition for faculty, students and funding.

Funding: Competition for state funding, both capital and operating funds, comes from all state agencies, including the other S.C. higher education institutions. Currently there is no defined level of support from the state for higher education nor is there a defined methodology for determining how monies allocated to higher education will be allocated between institutions for capital projects or operating allocations. As a result, funding requests are developed annually and each institution spends time networking with the legislature to lobby for their respective interest. Figure 7.3.2 demonstrates that USC Upstate students are funded on average approximately $1350 per student lower than South Carolina students at the other teaching institutions and as enrollment continues to grow; since funding is static it will be more adversely impacted. Lower levels of funding also affect our ability to attract and retain faculty.
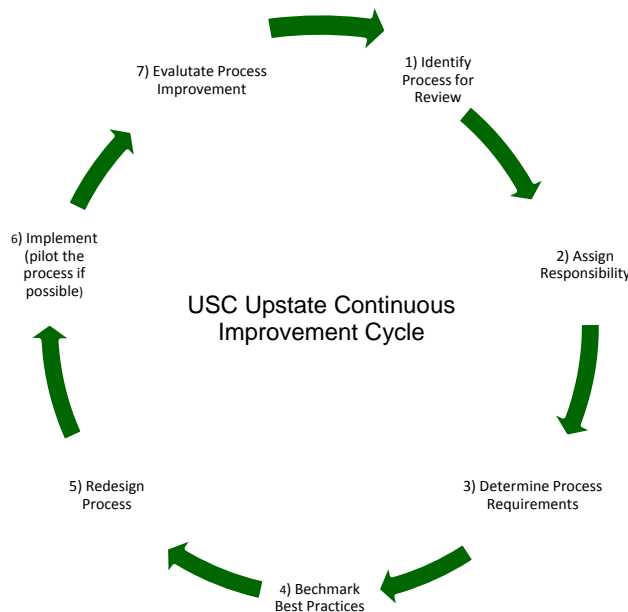
Faculty: Competition for faculty is a key consideration in the continued growth and evolution of USC Upstate. To continue making progress in recruiting quality faculty, it is imperative for USC Upstate to remain competitive in the areas that faculty rank high as determinants in position considerations: competitive salaries, quality and quantity of space/facilities and lab space allocations for particular disciplines, technology infrastructure, participation in decision-making, campus culture and image, and opportunities for research and professional growth.

Students: Competition for students comes from other universities, public and private, and two-year institutions within South Carolina. Business and industry also compete for students as many students graduating from high school choose to work rather than continue their education. Approximately 94% of USC Upstate students are residents of South Carolina.

Performance Improvement Systems

The diagram below demonstrates the continuous improvement process used across the institution to evaluate, redesign and implement process improvements. During the redesign process, all stakeholders are consulted to determine process requirements. Also, key process measures are decided upon to allow for process evaluation upon implementation. Each year, several processes are designated for review during the annual planning cycle.

It should also be noted that many of the administrative processes that are critical to the overall operation of the University are only partially executed by USC Upstate employees. In situations where process workflow is divided between the campuses, process redesign is more cumbersome and requires involvement of multiple stakeholders (all USC campuses) to define process requirements. Additionally, archaic student information, finance and human resource systems that are housed centrally at USC limit the types and amounts of system enhancements that can be made to streamline administrative processes.

USC Upstate Continuous Improvement Cycle

1) Identify Process for Review
2) Assign Responsibility
3) Determine Process Requirements
4) Bechmark Best Practices
5) Redesign Process
6) Implement (pilot the process if possible)
7) Evalutate Process Improvement

Expenditures Chart

Upstate Accountability Report Appropriations/Expenditures Chart

Base Budget Expenditures and Appropriations

Major Budget Categories	FY 07-08 Actual Expenditures		FY 08-09 Actual Expenditures		FY 09-10 Appropriations Act	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	$ 30,757,504	$11,306,227	$ 31,603,150	$ 9,275,000	$31,960,271	$ 9,275,000
Other Operating	$ 34,839,926	$1,000,000	$ 38,223,344	$ -	$39,088,367	$ -
Special Items	$0	$0	$ -	$ -	$ -	$ -
Permanent Improvements	$0	$0	$ -	$ -	$ -	$ -
Fringe Benefits	$8,053,681	$2,351,938	$ 8,491,679	$ 1,812,479	$ 8,699,024	$ 1,812,479
Non-recurring	$ 101,374	$ 101,374	$ 33,745	$ 33,745	$ 1,959,567	$ -
Total	$73,752,485	$ 14,759,539	$ 78,351,918	$ 11,121,224	$81,707,229	$ 11,087,479

Other Expenditures

Sources of Funds	FY 07-08 Actual	FY 08-09 Actual
Supplemental Bills	$ 101,374	$0
Capital Reserve Funds	$0	$0
Bonds	$0	$0

Major Program Areas Chart

			H34-Upstate Major Program Areas				
Program Number	**Major Program Area and Purpose**	**FY 06-07 Budget Expenditures**		**FY 07-08 Budget Expenditures**			**Key Cross References for Financial Results***
502		**State:**	14,759,539	**State:**	11,121,224		7.2.5
503		**Federal:**	0	**Federal:**	14,045		7.3.1
504	**Instruction**	**Other:**	9,065,224	**Other:**	13,633,720		7.3.2
505		**Total:**	23,824,763	**Total:**	24,768,989		7.3.3 7.3.4
		% of Total Budget:	32.30%			31.61%	
		State:	0	**State:**	0		
507		**Federal:**	0	**Federal:**	0		
508	**Auxiliary**	**Other:**	3,599,374	**Other:**	3,647,339		7.3.5
509		**Total:**	3,599,374	**Total:**	3,647,339		
		% of Total Budget:	4.88%			4.66%	
496	**Research**-Activities specifically organized to produce research outcomes, commissioned either by external entities or through a separate budget process of an organizational unit within the institution.	**State:**	0	**State:**	0		7.3.5
		Federal:	5,418	**Federal:**	0		
		Other:	122,077	**Other:**	85,217		
		Total:	127,495	**Total:**	85,217		
		% of Total Budget:	0.17%			0.11%	
497	**Public Service**-Activities established to provide non-instructional services beneficial to individuals and groups external to the institution.	**State:**	0	**State:**	0		7.3.3 7.3.5
		Federal:	1,002,399	**Federal:**	1,673,015		
		Other:	853,919	**Other:**	801,288		
		Total:	1,856,318	**Total:**	2,474,303		
		% of Total Budget:	2.52%			3.16%	
498	**Academic Support**-Administrative functions that directly support instruction, research, career advising, and public service to include libraries, computing services, and academic administration.	**State:**	0	**State:**	0		7.3.3 7.3.5
		Federal:	0	**Federal:**	0		
		Other:	5,549,621	**Other:**	5,225,677		
		Total:	5,549,621	**Total:**	5,225,677		
		% of Total Budget:	7.52%			6.67%	

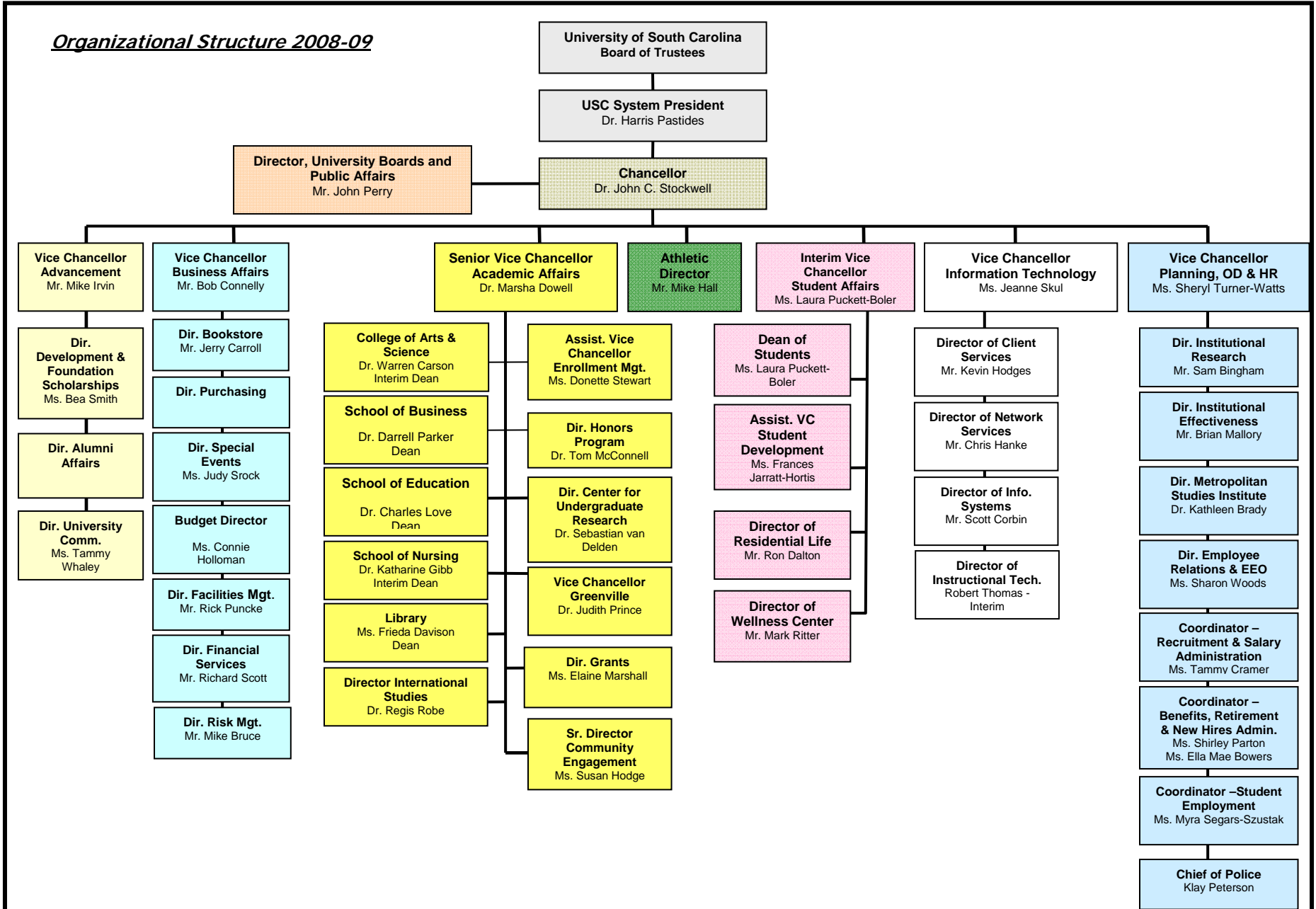|								
499	**Student Services-** Student focused activities to Include admissions, registration, health, athletics, academic advising, student organizations, and other student services.	State:	0		State:	0		7.3.3
		Federal:	557,123		Federal:	703,309		
		Other:	7,470,135		Other:	8,383,944		
		Total:	8,027,258		Total:	9,087,253		
		% of Total Budget:	10.88%				11.60%	
500	**Operations & Maintenance-** Facilities support services to include campus security, capital planning, facilities administration, buildings and grounds maintenance, utilities, and major repairs and renovations.	State:	0		State:	0		7.3.3 7.3.4 7.3.6
		Federal:	0		Federal:	0		
		Other:	7,819,301		Other:	8,873,683		
		Total:	7,819,301		Total:	8,873,683		
		% of Total Budget:	10.60%				11.33%	
501	**Scholarships-** Scholarships and fellowships in the form of outright grants to students selected by the institution and financed in the form of current funds, both restricted and unrestricted.	State:	0		State:	0		7.3.3
		Federal:	5,887,064		Federal:	6,471,704		
		Other:	11,260,008		Other:	12,255,448		
		Total:	17,147,072		Total:	18,727,152		
		% of Total Budget:	23.25%				23.90%	
506	**Institutional Support-** Administrative functions to include executive management, personnel services, fiscal operations, administrative computing, and public relations.	State:	0		State:	0		7.3.1 7.3.2 7.3.3
		Federal:	0		Federal:	0		
		Other:	5,801,283		Other:	5,462,306		
		Total:	5,801,283		Total:	5,462,306		
		% of Total Budget:	7.87%				6.97%	
	Grand Total	State:	State:	14,759,539		11,121,224		
	Grand Total	Federal:	Federal:	7,452,004		8,862,073		
	Grand Total	Other:	Other:	51,540,942		58,368,622		
	Grand Total	Total:	Total:	73,752,485		78,351,919		

Below: List any programs not included above and show the remainder of expenditures by source of funds.

Remainder of Expenditures:	**State:** **Federal:** **Other:** **Total:** **% of Total Budget:**	**State:** **Federal:** **Other:** **Total:** **% of Total Budget:**

* Key Cross-References are a link to the Category 7 - Organizational Performance Results. These references provide a chart number that is included in the section 7 of this document.

Organizational Structure 2008-09

University of South Carolina Board of Trustees

USC System President
Dr. Harris Pastides

Director, University Boards and Public Affairs
Mr. John Perry

Chancellor
Dr. John C. Stockwell

Vice Chancellor Advancement
Mr. Mike Irvin

- **Dir. Development & Foundation Scholarships**
  Ms. Bea Smith
- **Dir. Alumni Affairs**
- **Dir. University Comm.**
  Ms. Tammy Whaley

Vice Chancellor Business Affairs
Mr. Bob Connelly

- **Dir. Bookstore**
  Mr. Jerry Carroll
- **Dir. Purchasing**
- **Dir. Special Events**
  Ms. Judy Srock
- **Budget Director**
  Ms. Connie Holloman
- **Dir. Facilities Mgt.**
  Mr. Rick Puncke
- **Dir. Financial Services**
  Mr. Richard Scott
- **Dir. Risk Mgt.**
  Mr. Mike Bruce

Senior Vice Chancellor Academic Affairs
Dr. Marsha Dowell

- **College of Arts & Science**
  Dr. Warren Carson
  Interim Dean
- **School of Business**
  Dr. Darrell Parker
  Dean
- **School of Education**
  Dr. Charles Love
  Dean
- **School of Nursing**
  Dr. Katharine Gibb
  Interim Dean
- **Library**
  Ms. Frieda Davison
  Dean
- **Director International Studies**
  Dr. Regis Robe

- **Assist. Vice Chancellor Enrollment Mgt.**
  Ms. Donette Stewart
- **Dir. Honors Program**
  Dr. Tom McConnell
- **Dir. Center for Undergraduate Research**
  Dr. Sebastian van Delden
- **Vice Chancellor Greenville**
  Dr. Judith Prince
- **Dir. Grants**
  Ms. Elaine Marshall
- **Sr. Director Community Engagement**
  Ms. Susan Hodge

Athletic Director
Mr. Mike Hall

Interim Vice Chancellor Student Affairs
Ms. Laura Puckett-Boler

- **Dean of Students**
  Ms. Laura Puckett-Boler
- **Assist. VC Student Development**
  Ms. Frances Jarratt-Hortis
- **Director of Residential Life**
  Mr. Ron Dalton
- **Director of Wellness Center**
  Mr. Mark Ritter

Vice Chancellor Information Technology
Ms. Jeanne Skul

- **Director of Client Services**
  Mr. Kevin Hodges
- **Director of Network Services**
  Mr. Chris Hanke
- **Director of Info. Systems**
  Mr. Scott Corbin
- **Director of Instructional Tech.**
  Robert Thomas - Interim

Vice Chancellor Planning, OD & HR
Ms. Sheryl Turner-Watts

- **Dir. Institutional Research**
  Mr. Sam Bingham
- **Dir. Institutional Effectiveness**
  Mr. Brian Mallory
- **Dir. Metropolitan Studies Institute**
  Dr. Kathleen Brady
- **Dir. Employee Relations & EEO**
  Ms. Sharon Woods
- **Coordinator – Recruitment & Salary Administration**
  Ms. Tammy Cramer
- **Coordinator – Benefits, Retirement & New Hires Admin.**
  Ms. Shirley Parton
  Ms. Ella Mae Bowers
- **Coordinator –Student Employment**
  Ms. Myra Segars-Szustak
- **Chief of Police**
  Klay Peterson

Category 1: Senior Leadership, Governance, and Social Responsibility

1. How do senior leaders develop and deploy their organization's vision and values throughout the leadership system, to the workforce, to key suppliers and partners, and to students and stakeholders, as appropriate? How do their personal actions reflect a commitment to the organizational values?

USC Upstate's mission, vision, values and strategic goals create a strong foundation for establishing an environment of continuous improvement. The leadership system and organization, including the Chancellor's Cabinet, the Senior Vice-Chancellor's Deans' Council, and expanded Academic Affairs Council, were designed to support cross-functional participation, communication, decision-making, and accountability in support of the achievement of the mission and goals.

Senior leaders participate in an annual retreat to review and discuss organizational performance. This discussion and analysis revolves around a data review of key performance indicators (KPIs) with the data represented by category in an environmental scan report created by the Strategic Issues Advisory Committee. This report is based on a data review, documentation of the leading issues on campus, analysis of KPI's, roundtable discussions with a variety of constituents; additionally, the committee offers recommendations consideration and prioritization of tactics, in broad terms, for the upcoming year. Following the retreat, senior leaders work with the faculty and staff, within their respective areas to create operational tactics and plans that are reviewed to ensure the compatibility of priorities with resource allocations – financial and human. Finally, the annual plans are summarized and shared through a variety of means with faculty, staff and external stakeholders.

Senior leaders work to support the core values by keeping the focus on students, working diligently to provide a good workplace for all employees and continually operating within budget. Figure 1.1.1 demonstrates the means used to convey a variety of messages to stakeholders.

Communication	Audience	Purpose
USC Upstate web site	All Stakeholders	Update current and prospective students, community partners and alumni. A means for faculty and staff to access information.
Register	Faculty/Staff	A weekly communiqué to the campus community. Provides opportunities to educate, inform, and to share news.
E-Blast	Students	A weekly e-mail update to all students includes events, campus news, accomplishments, and opportunities for involvement.
Parent Newsletter	Parents	Created to provide information about programs and services for students.
Upstate Magazine	Faculty, Staff, Alumni, Partners, Donors	A magazine published three times per year. Serves as a means to promote the university, highlight donors, motivate alumni to stay involved, features outreach and partnerships, etc.
Chancellor's University Day Speech	Faculty/Staff	A "State of the University" address highlighting past semester/year's accomplishments and outlining objectives for the upcoming year/semester.
Meetings with Student Government Assoc.	Students	Provides a forum between the student government association and administration to address issues and to share information.
General Faculty Meetings	Faculty	Meeting open to all faculty twice per semester. Senior leaders update on a variety of issues affecting the University.
Legislative Briefings	Legislators	An annual meeting presenting University accomplishments and legislative challenges, in hopes of garnering support and thanking legislators for support.
Faculty Senate Meetings	Faculty	Monthly meetings with faculty representatives in which senior leaders share information about the direction of the institution.
Facebook, MySpace, Twitter, YouTube, Vimeo	All Stakeholders	Update all stakeholders on a variety of topics.
Figure 1.1.1		

2. How do senior leaders create a sustainable organization with a focus on action to accomplish the organization's strategic objectives, improve performance, and attain your vision?

USC Upstate leadership employs a strategy of adaptive alignment to ensure the mission, vision and strategic plans remain current and compelling. A regular review of organizational performance and planning tactics on an annual basis allows for modifications to programs and initiatives to ensure effectiveness and best use of resources. The leadership team regularly reviews funding streams and creates various options to allow organizational progress even in economic downturns. Regular review of division/department capabilities creates a more agile organization that can easily be aligned to support continuous improvement.

3. How do senior leaders personally promote and support an organizational environment that fosters and requires: legal and ethical behavior; and, fiscal, legal, and regulatory accountability? How are these monitored?

Senior leaders promote an environment that fosters and requires legal and ethical behavior through ensuring awareness of and compliance with university policies, e.g. BTRU 1.2 "Dishonest Acts and Fraud" and BTRU 1.18, "Conflict of Interest" and HR 1.02 USC Ethics Policy. A review of several compliance policies is done with the Chancellor's cabinet each year. Additionally, many departments are governed by their own code of ethics and ensure compliance within the function for those expectations. Several USC offices work to monitor a variety of compliance issues across all campuses including: internal audits, procurement reviews, procurement card expenditure audits, EEO complaint processing, etc.

4. How do senior leaders create an environment for organizational and workforce learning?

Continuous learning for faculty and staff are supported in numerous ways on campus. Free tuition for one course per semester is offered to each full time employee after six months of employment and there are training initiatives focused on institutional policies and procedures for new employees to aid in their quick assimilation to the campus. Computer training is also offered as are other digital technology use workshops. OSHA training is provided annually for employees working in departments where safety training is required including: blood borne pathogens, electrical safety, ladder safety, etc. Additional professional development is supported through workshop and seminar offerings on campus that are open to all employees and cover a variety of topics that are appropriate for supporting the priorities established on campus. Because of the degree of specificity required for most faculty and senior leadership development activities, faculty and senior administrative leaders have development funds available through department budgets and institutionally funded grants for development specific to their discipline or area of interest. These funds allow department managers, senior leaders and faculty to attend conferences where information is gathered through conference seminars, benchmarking, and networking.

5. How do the senior leaders promote and personally participate in succession planning and the development of future organizational leaders?

Each year senior leaders openly discuss and review the personnel in each division giving particular consideration to positions in which the current employees are near retirement. If retirement or other changes are imminent, a plan and timeline is put into place to ensure cohesion of responsibilities and minimal loss of organizational memory as retirements or other changes occur within the organization. Senior leaders also work with employees during the EPMS (annual review) process to assign objectives for the next year and identify the skills necessary to achieve those objectives. Employees are encouraged to attend workshops on campus, take academic courses on campus that are paid for

after six months of employment, participate in campus committees and cross-train on various task to increase knowledge and experience. As employees increase their knowledge, skills and academic credentials, they are eligible to apply for other positions on campus.

> 6. How do senior leaders communicate with, engage, empower, and motivate the entire workforce throughout the organization? How do senior leaders take an active role in reward and recognition processes to reinforce high performance throughout the organization?

USC Upstate senior leaders have created an environment that enhances empowerment, innovation, and motivation through the shared accountability and responsibility for organizational improvements. Communication with employees is handled both formally and informally to include Fall University Days in which the Chancellor speaks directly to faculty and staff about the accomplishments from the past semester/year and sets the tone and direction for much of what will be focused on in the next year. Senior leaders also meet weekly and participate in a shared agenda that encourages information sharing and cross-functional discussions on a variety of topics as needed. Senior leaders are also asked to share this information with their direct reports during division and department meetings. The *Register,* created and distributed weekly by University Communications*,* is a consistent means of communication with all faculty and staff and is venue for supervisors to offer positive reinforcement by sharing various department/faculty/staff accomplishments with the campus.

Senior leaders are involved in faculty and staff rewards and recognition. A primary way high performance is recognized is through merit increases for employees when there are funds available. All employees are invited to participate in the nominations and selection of the Classified Employee of the Year. Each nominee, the individual that nominated them and the employee's supervisor are invited to a luncheon to be recognized for their contributions; the luncheon is hosted by the Chancellor and other senior leaders. The employee selected as the Classified Employee of the Year is recognized at the annual May Day Employee Picnic along with recognition of all employees receiving Years of Service Awards. Outstanding faculty are recognized during the graduation ceremony each May through the following awards 1) the Bank of America Excellence in Teaching and Advising Awards – one faculty from Arts and Sciences and one faculty from the professional schools are selected by a representative student committee - and 2) the USC Upstate Annual Award for Scholarly and/or Creative Pursuits is given to a faculty member selected by the Teaching Excellence Committee based on review of submissions of research and/or creative endeavors.

> 7. How does your organization evaluate the performance of your senior leaders including the head of the organization, and the governance board/policy making body? How do senior leaders use these performance reviews to improve their own leadership effectiveness and that of the board and leadership system, as appropriate?

Senior leaders receive annual feedback from faculty and staff on the services, programs, etc. within their area of responsibility. This feedback includes satisfaction with performance of duties/responsibilities of each department and the service orientation of each department. Senior leaders within the academic division, including the Chancellor, Senior Vice Chancellor and the Deans, are reviewed by the faculty within their department(s) on their leadership and supervisory responsibilities. All vice chancellors, deans and department heads receive an annual review from their direct supervisor at the conclusion of academic year. The chancellor receives regular feedback from the President of the USC System and annually formally reviews progress of the institution.

8.   What performance measures do senior leaders regularly review to inform them on needed actions?

Performance Measures			
Students	Faculty/Staff	Financial	Stakeholders
– Enrollment – Retention – Graduation rates – Scholarships – Diversity – Student/faculty ratios	– Faculty/student ratios – Benchmarking administrative offices – Employee surveys – Organizational assessments – Pay Equity Analysis – Credential reviews	– Tuition – State funding – Capital funding – Budgets – Scholarships	– Satisfaction surveys – # of high level projects partnered with the university – Donor gifts

Figure 1.8.1

9.   How does your organization address and anticipate any adverse impacts of its programs, offerings, services, and operations? What are the key <u>compliance related</u> processes, goals, and measures?

In accordance with the nature of metropolitan universities, USC Upstate is highly attuned to societal responsibilities and impacts on the communities within which it operates. Senior leaders and responsible departmental leaders collaborate directly with community agencies, organizations and leaders to better gauge the impact of the various programs and services of USC Upstate. The Chancellor has recently appointed a task force to review environmental sustainability issues for campus and charged them with making recommendations for action. The newest building on campus, the Health Education Complex is LEAD certified. The matrix below identifies several of the process and indicators used to track compliance.

Process	Practices	Performance Indicators
Legal & Safety	– Workers Comp – Fire Audits – Crime – Hazardous Waste	– Accident rates – Follow ups and compliance issues – # of incidents on campus – # of incidents on campus
Ethics and Equity	– EEO – Diversity – ADA	– # of complaints – Percent of minorities and female employees – Dollars spent upgrading campus and # of complaints
Accreditation	– SACS – Program specific accreditation	– Maintaining certification – Maintaining certification

Figure 1.9.1

10.   How do senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, faculty and staff, and the organization's students contribute to improving these communities.

USC Upstate is a member of The Coalition of Urban and Metropolitan Universities. The *Declaration of Metropolitan Universities* describes the roles of college and university leaders in partnering with and being responsive to our community in our teaching, research and professional enterprises. With a shared mission of striving for national excellence while contributing to the economic development, social health, and cultural vitality of the urban or metropolitan centers served, it is a cultural expectation that all divisions/departments on campus will strive to build partnerships within the local community based upon their function, discipline or professional expertise. Many of the projects implemented are jointly sponsored, planned and implemented with other community and partnering organizations; examples include 1) the Dean of the Library coordinating the large effort to bring the

"The Wall That Heals" to campus for part of the celebration of USC Upstate's 40th year anniversary, 2) the Scholars Academy is a joint project that was facilitated by the School of Education and the school districts in the county. The Scholars Academy allows 25 academically advanced ninth graders to take courses on the USC Upstate campus during their high school years and 3) a new project in which USC Upstate is partnering with the city of Spartanburg in the relocation of the School of Business Administration and Economics to a newly constructed facility located downtown Spartanburg. The Metropolitan Studies Institute (MSI) has been created to focus on external program assessment, e.g. grant funded projects within the community and management of a community indicators project for tracking progress on a variety of community based performance indicators.

Senior leaders work with advisory groups and community partners to establish priorities for involvement. In the upcoming academic year, we are adding a position to coordinate all activities between the university and the community to allow for better prioritization and assessment of activities.

Category 2: Strategic Planning

1. What is your Strategic Planning process, including key participants, and how does it address: A. Your organizations' strengths, weaknesses, opportunities and threats B. Financial, regulatory, and other potential risks C. Shifts in technology, student and community demographics, markets, student and stakeholder preferences and competition, D. workforce capabilities and needs, E. Long-term organizational sustainability and organizational continuity in emergencies F. Your ability to execute the strategic plan?

The development of the strategic plan is a collaborative effort across the institution and involves the Chancellor, the Chancellor's Cabinet (senior leaders), Academic Deans, Strategic Initiatives Task Force, Department Chairs and Directors. The institutional mission and vision were revised and approved in 2006. The goals of the institution reviewed each year and conceptually will remain constant for the next several years with gradual evolutions and updates based on the current institutional opportunities and challenges.

 A) This past year a new task force was assigned the responsibility for collecting data and other qualitative information to be used as a situational analysis. This task force was appointed by the Senior Vice Chancellor for Academic Affairs and is made up largely of academic representatives. The task force is charged with gathering data, facilitating round table discussions, reviewing best practices and making recommendations. The task force is not a decision making group but rather delivers an annual report to be used by others as a situational analysis when decisions are being made and priorities are being established.

B) Each tactic proposed for the upcoming year undergoes a cost/benefit analysis prior to budget prioritization and the allocation of new/additional funds. Senior leaders report throughout the year on financial and regulatory information that is within their purview to ensure that all senior leaders are aware of any issues/concerns. Additionally, any regulatory requirements that aren't included in departmental administrative plans are added to the tactics as appropriate.

C) Senior leaders are kept aware of the latest shifts in technology through the Department of Information Technology Services including, but not limited to, technology in the following areas: data warehousing, personal computing, data security and teaching in the classroom. Changes in student and community demographics are collected from numerous sources, e.g. State Department of Education, IPEDS, local Chamber of Commerce and various offices on campus. This information is

analyzed at both the institution and department level and factored into long and short term action plans as appropriate.

D) workforce capabilities and needs are discussed during an organizational review at the cabinet retreat each year and during the budgeting process. All request for additional staffing are considered during the annual budget process.

E)One of the primary means of assuring organizational sustainability is through constant strengthening of the organizational structure. The organization is reviewed annually to ensure strategic alignment of personnel in support of the institutions mission and goals. As turnover occurs, position responsibilities are reviewed and position descriptions are updated to ensure the position is not only relevant but is structured to add the most value to the organization. The budget process is another key to long term sustainability; the budget process was created to allow for timely decisions and actions based on funding availability. Funding of projects and new initiatives is often handled in stages to allow senior leaders a better grasp of intuitional finances prior to committing funds. Additionally, a campus incident plan was created and implemented this past year targeting increased awareness and knowledge among faculty and staff to reduce risk and liability.

F) The ability of the organization to execute the strategic plan is assured through many of the same means that assure organizational sustainability. The primary variables effecting the achievement of the strategic plan are ensuring the appropriate resources are available – personnel with the appropriate skills, capital funding, and operational funding.

2. How do your strategic objectives address the strategic challenges you identified in your Executive Summary? (section 1, question 4)

In the strategic planning cycle, a form of environmental scans is created annually by the Strategic Initiatives Task Force and strategic challenges/priorities are identified in a report for the Chancellor's Cabinet. A review of the challenges allows for modification of the goals and supporting strategic objectives as needed. The objectives are developed with a focus on ensuring a consistent approach in action plans and strategies to address both long-term and short-term challenges and opportunities.

3. How do you evaluate and improve your strategic planning process?

USC Upstate's strategic planning process is broad based and cyclical and was established to allow for process review and critique, targeting continuous improvement of the process. Prior to beginning the annual planning cycle, feedback on the process is gathered from a broad audience to allow for immediate improvements as the cycle begins. Throughout implementation and deployment, progress is regularly reviewed within the divisions/departments to ensure progress is being made as anticipated. Any lags or fluctuations in progress due to unanticipated events or influences or unforeseen opportunities are reported to senior leaders and plans are refined accordingly.

4. How do you develop and track action plans that address your key strategic objectives? Include how you allocate resources to ensure the accomplishment of your action plans.

During the annual planning retreat a great deal of discussion is targeted on the priorities for the upcoming year and senior leaders are allowed to give input into the priorities of all divisions. Once priorities are agreed upon, each senior leader works within their divisions/departments to develop annual operational plans and synchronize their priorities to support achievement of the agreed upon tactics. This cascading of operational plans through every department in support of the prioritized

tactics allows the institution to mobilize the majority of faculty and staff towards the achievement of tactics prioritized for the upcoming year.

Tracking of completion and progress on annual tactics is managed in a decentralized manner through senior leaders working with their departments to capture and report progress on annual tactics. Throughout the year, as senior leaders meet with their divisions, operational plans are reviewed and progress is reported. At the end of the academic year, the Office of Planning and Organizational Development facilitates a "wrap up" of the annual plans with the senior leaders into a consistent institutional format.

A major component of the retreat discussion is focused on resource allocation. Through priority discussions a determination is made on whether or not an agreed upon initiative requires additional resources within the division. All initiatives requiring additional resources are then prioritized and after the budgets are approved by the state, leaders are notified as to which initiatives were funded and which remain unfunded. Unfunded initiatives can remain on the tactics tracking list with a note that it was unfunded for the year but it allows for these tactics to be carried forward into the next year.

5.	How do you communicate and deploy your strategic objectives, action plans and related performance measures?

Each senior leader works within their divisions/department(s) to develop annual operational plans and synchronize their priorities to support achievement of the agreed upon tactics. This cascading of operational plans through every department in support of the prioritized tactics allows the institution to mobilize the majority of faculty and staff towards the achievement of tactics prioritized for the upcoming year. A summer mini-retreat is also held for senior leaders to review all tactics from each department across campus to ensure there is alignment of resources- both human and financial. The strategic objectives and annual tactics for each department are also posted on the University website.

6.	How do you measure progress on your action plans?

Tracking of completion and progress on annual tactics is managed in a decentralized manner through senior leaders working with their departments to capture and report progress on annual tactics. Written documentation of progress is captured throughout the year in a consistent tracking format used by all divisions and departments. Progress on highly prioritized institutional projects is reported on throughout the year to the Chancellor and other senior leaders, e.g. the Chancellor's Cabinet and the Dean's Council. During these mid-year updates, senior leaders learn of progress that has been made towards completion of the project and potential roadblocks or concerns. This briefing of senior leaders allows for a quick response from the cross-function teams to assist in alleviating any roadblocks or concerns rather than waiting until the end of the year to report that a project has stalled. At the end of the academic year, the Office of Planning and Organizational Development facilitates a "wrap up" of the annual plans into a consistent institutional format that is published on University's website.

7.	If the organization's strategic plan is available to the public through the organization's internet homepage, please provide an address for that plan on the website.

http://www.uscupstate.edu/about_upstate/planning/strategic/default.aspx?id=10172

Strategic Planning

Program Number and Title	Supported Organization Strategic Planning Goal/Objective	Related FY 09-10 Key Action Plan/Initiative(s)	Key Cross References for Performance Measures*
1	Design and implement educational experiences that enable (facilitate) students to meet intellectual, social and career/professional objectives.	- Study the use of professional advisors and be prepared to make recommendations by January - Partner with local high schools to grow dual enrollment - Increase academic support programs and student use of resources. Offer additional sections U 101 (targeting 90% of freshmen), supplemental instruction, tutoring, living/learning communities (residential halls for nursing, business, international, etc), early intervention, writing center, math lab and additional focus on transfer students - Address imbalances in full-time/part-time faculty - Develop and implement an exit interview process for non-continuing students. – Expand the co-curricular support for the Preface Program (freshmen common reading program)	Primary Function Chart 1.8.1 3.2.1 3.4.1 7.1.1 7.1.5 7.1.6 7.5.2 7.5.3
2	Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.	- Increase number of students working on campus to supplement staffing in lean times and to improve engagement/retention of students - Use Face book, twitter and other social networking web interfaces to communicate with a variety of populations- students, parents, community, partners, etc. - Develop full schedule of programming to promote engagement in the Healthy Upstate Carolina initiatives this fall. (faculty, staff and students) - Increase large scale student events with broad appeal - Build Interactive Campus Map for Greenville campus - Meet with UCG to review space options for future growth - Hire a coordinator of service-learning initiatives within Student Affairs - Implement the new "credit plus" program with China – Implement the recruitment plans developed to address any underrepresented groups by job classification	1.1.1 3.2.1 3.4.1 6.3.1 7.2.1 7.2.4
3	Support implementation of outstanding academic programs.	- Address imbalances in full-time/part-time faculty – Plan and implement new academic programs: BS in Health Sciences, BA in Commercial Music. New proposal submissions for MAT in Middle Grades, Special Education, Master is Nursing, Informatics and Healthcare Informatics – SACS leadership team to begin creating documentation of all assessment processes for re-accreditation process. – Develop the QEP Plan – Work with CURS to implement reallocation of faculty time and increase student assistantship grants to support student/faculty research. – Search and hire a Dean for the College of Arts & Science and a Dean for the School of Nursing. – Create, develop and implement marketing plans and publications as needed to gain support for funding and construction of the new Library. – Develop continuing education professional certifications. – Enhance publications of accomplishment for faculty – Support the Honors Program in their efforts to increase students taking honors courses. – Implement a Center for Teaching Excellence – Advocate for the restoration of PASCAL Funding. – Develop a program of Leadership Fellows to develop future academic leaders	3.1.1 3.2.1 3.4.1 7.1.3
4	Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.	– JCBE: co-host the Chamber Economic Outlook Breakfast – MSI: Continue to coordinate the data management and reporting portion of the Spartanburg Community Indictors project. Increase paid projects for community studies, e.g. gap analysis for the Regional Education Center. – MSI: Update and publish the study on the economic impact of the institution on Spartanburg County. – Complete the development of the lower quad project as called for in the Campus Master Plan. – Construct the George Dean Johnson, Jr. College of Business and Economics in downtown Spartanburg – Submit an application for the Community Engagement Classification (Carnegie Class)	3.2.1 3.4.1 7.1.2

Strategic Planning Continued

Program Number and Title	Supported Organization Strategic Planning Goal/Objective	Related FY 09-10 Key Action Plan/Initiative(s)	Key Cross References for Performance Measures*
5	Create enrollment capacity to meet the needs of the growing Upstate population.	– Re-image the University Web site based on industry research, design standards, case studies, etc. with student recruitment and retention at the forefront. – Complete Magnolia House (350 additional beds and renovate the Palmetto Villas). – Further define the collaborative processes for the one-stop-shop student enrollment services area in Health Education Complex. – Create additional parking lots to accommodate students attending classes in the Health Education Complex. – Construct the George Dean Johnson, Jr. College of Business and Economics in downtown Spartanburg – Build an Adult Recruitment Web site and develop needed materials to promote specific degree offerings, in collaboration with Enrollment Services. – Develop and implement an student exchange programs with China (JDCBE) – Grow the articulation agreements within S.C.	7.1.2 7.1.7 7.2.2
6	Pursue excellence in human resources, organizational effectiveness, financial, technological and workforce management and resource sustainability.	– Coordinate remainder of departmental moves across campus based on department space re-organization plans due to opening the Health Education Complex. – Fully implement the campus incident management plan. – Implement the digital signage system in HEC – Further develop protocols for the use of the SpartAlert System on campus – Continue development of the campus master plan with the development of the lower quad and completing the "fit and finish" of campus. – Seek customization of VIP through USC until the implementation of One Carolina. – Work with various constituents on campus to implement energy conservation initiatives – Implementation of specific academic fees to fund specific academic endeavors while keeping general tuition low	1.9.1 3.2.1 6.3.1 7.2.5 7.4.1 7.4.2 7.4.6 7.4.7
* Key Cross-References are a link to the Category 7 - Organizational Performance Results. These References provide a Chart number that is included in the 7th section of this document				

Category 3: Student, Stakeholder and Market Focus

> 1   How do you identify the student and market segments your educational programs will address? How do you determine which student and market segments to pursue for current and future educational programs, offerings, and services?

The USC Upstate mission statement defines the "citizens of the Upstate of South Carolina" as the focus of the programs and services delivered by the institution. It is the intention of the University to offer a broad range of major curricula in arts and sciences and in professional fields of study required by the regional economy, including business, education, and nursing. The academic deans and academic administrators work with Enrollment Services and the many two year schools and high schools in the Upstate area to gain a better understanding of student's educational interest. The deans and other academic administrators also network with local businesses and professional organizations, e.g. the Chamber of Commerce, and survey businesses and alumni in the Upstate to gain a better understanding of the employment needs/demands and the need for continuing education, i.e. professional certifications or graduate degrees. As needs are identified and ideas for new programs are being reviewed, the department proposing a new program is charged with reviewing the current offerings from other institutions in the Upstate to avoid program duplication, projecting student enrollment based on similar programs around the state, projecting faculty needs, cost and other program expenditures. All program proposals must also be approved by USC, S.C. Commission on Higher Education and SACS when appropriate.

Recent Program Changes	Basis for Decision
Closing of ADN (2 year nursing program)	Mission, resources. These programs are being handled by the two-year institutions.
Addition of Bachelor's in Art Education	To fill a critical need for the state. Many art educators will retire over the next 5 years and there are not a sufficient number of art education programs to fill the void.
Closing of French Major	Low enrollments and graduates
Addition of Bachelor's of Science in Engineering Technology Management	Upstate businesses strongly encouraged USC Upstate to initiate this program. No four-year colleges or universities in the state currently offer an ETM program. Thus, in collaboration with five technical colleges, USC Upstate started this program so businesses would have college-educated supervisors in the field of engineering technology management.
Figure 3.1.1	

> 2   How do you keep your listening and learning methods current with changing student and stakeholder needs and expectations (including educational programs, offerings, and service features)? How do you determine the relative importance of the expectations to these groups' decisions related to enrollment?

A variety of listening and learning strategies have been adopted by the senior leadership team and individual divisions/departments to maintain a consistent awareness of the needs and expectations.

Stakeholders – Methods for Listening and Learning	
Prospective Students & Parents	Fabulous Fridays (parents and prospective students visit campus)
New Students & Parents	New student orientation, Transfer student orientation, Advising Center/Faculty Advisors, EBI Student Satisfaction Survey, Placement Test, Parent Newsletter, Parent website
Current Students	Student Government Association meeting with Senior Leaders, Advising Center/Faculty Advisors, Center for Student Success, Classroom Presentations – Student Surveys (Pre- & Post), Exit Surveys, General Education Assessments, Residential Housing Surveys
Employees	Annual employee surveys of all administrative areas, Annual faculty feedback for academic leaders, Conversations with the Executive Vice Chancellor
Alumni & Donors	Alumni Surveys, University Review Magazine, Web page, Alumni Board, E-mail correspondence, Events, Telephone calls, Letters, Stewardship events
Employers	Career Center Advisory Team (internal & external employers), Recruitment Events- Employer Surveys, Employer Job Postings – Follow-up Survey, Career Center Webpage (Employers & Students)
Community Partners	University Review Magazine, One-on-one meetings with senior leaders, Chancellor's community organization speaking engagements, participation in on-campus advisory boards.
USC System & Board of Trustees	USC System Meetings, USC Board of Trustees Meetings
Figure 3.2.1	

> 3.   How do you use information and feedback from current, former, and future students and stakeholders to keep services and programs relevant, and provide for continuous improvement?

Much of the data and information collected and analyzed is facilitated through the Office of Institutional Research, Assessment and Planning. The data is disseminated to senior leaders and to the Strategic Issues Advisory Task force for review and decision making. All assessment data are analyzed to ensure programs and services are meeting the expectations of the stakeholders and complying with established standards. The continuous improvement cycle is followed to ensure that improvements and enhancements are made based on the feedback received.

USC Upstate also participates in a number of national studies that provide a mechanism for comparative program analysis and trend analysis. The EBI graduate exit surveys for nursing, business

and education are examples of an assessment surveys administered to all students nearing graduation. The results will be compiled and reported from EBI in an electronic format with comparable data for other participating institutions.

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4. How do you determine student and stakeholder satisfaction and dissatisfaction and use this information to improve?

USC Upstate uses a variety of methods to gather information on student and stakeholder satisfaction and dissatisfaction. Depending upon the type of data gathered, information is disaggregated or segmented, as appropriate, to determine variances by particular variables, e.g. student gender or faculty rank. Data is also used to inform decision-making as action plans are developed to address any issues.

Instrument	Stakeholders	Frequency
Educational Benchmark Exit Survey	Seniors - Business, Nursing, Education	Every three years.
ACUHO-I/EBI Resident Study	Housing	Every three years.
First Year Student Experience Survey	All first year students	Annually
Student Opinion Polls	Current Students	End of every course
First Year Initiative Survey	Students in Univ. 101	Annually
Graduate Surveys	Graduates from the last academic year	Annually
Alumni Surveys	Graduates	Every other spring, 2 – 4 years after graduation.
Departmental Surveys for all departments on campus	Students, Faculty, Staff, Community Partners, Alumni	Ongoing
Departmental Surveys – Counseling Services, Disability Services, etc.	All Faculty and Staff	Annually
Major Surveys – Engineering Technology Management, English, Nonprofit, etc...	Current Students taking courses in each area	Annually
NSSE – National Survey of Student Engagement	Current Freshmen and Seniors	Every three years
FSSE – Faculty Survey of Student Engagement	All faculty	Every three years
Senior Surveys	School of Education Seniors	End of fall and spring semesters
Faculty Survey of Administrators	All Faculty	Annually
Employee Satisfaction Survey	All Faculty and Staff	Annually
Employer Surveys (Education)	Employers of School of Education Graduates	Every other year
Administrative Area Surveys	All Faculty and Staff	Annually

Figure 3.4.1

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5. How do you build positive relationships to attract and retain students and stakeholders, to enhance student performance, and to meet and exceed their expectations for learning? Indicate any key distinctions between different student and stakeholder groups.

Building positive relationships with students and stakeholders begins at the pre-enrollment stage. Enrollment Services markets the University and its programs and services while trying to engage potential students, parents, and guidance counselors with our campus community. Through recruitment efforts such as Fab Fridays, Juniors Scholars, Summer Scholars, Open Houses, guidance counselor luncheons, etc., Enrollment Services is able to communicate effectively and connect with interested parties. Once a student has decided to attend USC Upstate, the student and parents receive further information with regard to joining the campus community (i.e. orientation registration, housing

application, meal plan information, financial aid award letter, student employment opportunities, special mailings about campus programs and initiatives, etc.). At summer orientations, students and parents alike are introduced to the campus culture, policies and procedures, faculty members, important campus resources, etc. Students are immersed in student culture through the peer educators that serve as orientation leaders, as well as, being introduced to the academic culture via faculty welcomes, course advisement and registration, and a series of breakout sessions connecting students to various important campus resources and personnel. Parents are also deemed important and participate in their own orientation sessions where they hear from academic deans and important campus resource personnel, and are able to access different offices/services on campus in one location via the Information Fair. These early connections built with students and parents establishes an important precedent for ensuring continued communication that contributes to student retention, student learning, and satisfaction with the University in general.

Once the student enrolls and arrives on campus, various other programs, initiatives, and services assist in helping students form intentional connections with other students, faculty, and staff. Student Affairs and Athletics provide programs, student activities, and support systems to help students connect to each other and to provide means of social integration into the campus culture. In academics, first year students are exposed to several different options that provide intentional integration (i.e. University 101, learning communities, comfort communities, "Preface" common reading and writing experience for freshmen, residential life academic programming, etc. Enhanced student performance is generally a by-product of these special programs and initiatives, as measured by increased student success in the classroom as well as with increased retention figures. There are additional academic support initiatives that also focus on improving classroom student performance (i.e. supplemental instruction, tutorial services, Early Intervention Program, increased smart/enhanced classrooms to improve classroom learning through technology, disability services, opportunity network (federally funded TRIO Student Support Services program), etc.

Many of these campus initiatives attempt to reach distinct student groups, but certainly they are not mutually exclusive. Much emphasis is placed on freshmen because their first year successes contribute significantly to their retention and graduation rates. Within the freshman cohort exists other individual groups such as on-campus students, university 101 students, students in learning communities, opportunity network students, supplemental instruction participants, etc. These groups are intertwined to provide a broad based approach to reaching students in multiple venues and developmental stages. Transfer students are another group of stakeholders that need specific attention and the university is beginning to explore ways to reach these students to ensure their success (i.e. University Center of Greenville, 2+2 agreements with technical schools, interdisciplinary studies program, etc.) Parents also play a key role in their student's success and Enrollment Services and other key offices such as the Center for Student Success and Student Affairs contribute to building those positive relationships – before students arrive on campus until they graduate and beyond. Other key stakeholders may refer to alumni, community members involved in university programs, initiatives, and advisory boards, community youth and senior citizens that may benefit from service learning initiatives and other programs that support our metropolitan mission.

Category 4: Measurement, Analysis, and Review of Organizational Performance

1	How do you select which operations, processes and systems to measure to determine student learning, and for tracking daily operations and overall organizational performance, including progress relative to strategic objectives and action plans?

USC Upstate's mission, values, and strategic plans serve as the platform for the development of institutional key performance indicators (KPIs) to track daily operations and organizational performance. In selecting KPIs, particular attention is paid to the alignment and integration of data into a performance management system that aids leaders and stakeholders in monitoring institutional progress. Consideration is also given to the availability of comparable data from other institutions to allow for benchmarking and the ability to collect and analyze longitudinal data to determine cause and affect relationships.

Indicators of student learning are determined primarily by the faculty of the institution as required by our regional accrediting agency, SACS. Faculty committees determine the stated student learning outcome objectives, means of assessment and criterion for successful achievement. The data collected on the student learning outcomes is used to make changes in pedagogy, curriculum, and academic support services.

2	How do you select, collect, align, and integrate data/information analysis to provide effective support for decision making and innovation throughout your organization?

Performance data are regularly used in decision making throughout the institution, including, but not limited to, admission, enrollment, student achievement, student satisfaction, and retention and graduation data, budget projections, space projections, budget analysis, personnel data, health, risk and OSHA data, etc. Many of these data sets are compiled either on a consistent cycle and reported broadly across the institution or compiled by the Strategic Issues Advisory Committee and used as the basis of their annual recommendations for strategic planning.

Selection, collection, alignment of data at the institutional level is facilitated through the chancellor's cabinet and the Strategic Issues Advisory Committee. Both groups collect and analyze a variety of data for use in decision making and planning. The data collected and the subsequent actions based on analysis are shared across the institution through division/department meetings.

3	How do you keep your measures current with educational service needs and directions?

USC Upstate's key measures are broad in scope and are designed to give an overview of progress and achievement in several areas of institutional performance to various stakeholders. The key measures are intended to create a balanced focus on students, faculty/staff and other stakeholders and also to inform responsible individuals and departments of relevant issues and performance discrepancies. The key measures are kept current through the selection of comparative data based on the most appropriate data available.

Key Measures	Data/Indicators Reviewed
Student Quality	Incoming freshmen GPA and SAT, Transfer student GPA, Enrollment, Scholarship Funding
Student Success	Freshmen to sophomore retention, six-year graduation rates, professional exam pass rates, major field test scores, tutorial services participants, academic performance data, FYI Survey (First Year Initiative)for University 101 students, first year student surveys, use of Early Intervention Program and success of students contacted, success of students participating in University 101, learning communities and supplemental Instruction, professional exam pass rates
Student Satisfaction	Residential Life Survey, NSSE and EBI surveys on a rotating basis, FYI Survey targeting experiences of UNV 101 students, Alumni Surveys, First Year Surveys (freshmen and transfers)
Finance	Tuition, State Appropriations, Enrollment, Greenville Credit Hour Production Scholarship Funding, Grants, CIB Funding
Faculty/Staff	Terminal Degrees, Competitive Salary, Satisfaction, Student/Faculty Ratio, Full-Time vs. Part-Time Faculty Ratio
Operational Efficiency/ Effectiveness	Student/Faculty Ratio, Degrees Awarded, State Appropriations/Student FTE Space Utilization, Master Plan Development, Student Credit Hours per Faculty
Educational Compliance	Accreditations
Figure 4.3.1	

4	How do you select and use key comparative data and information from within and outside the academic community to support operational and strategic decision making?

USC Upstate has established a group of peer institutions for data comparisons on key measurements, in addition to regular comparisons to all South Carolina teaching institutions. The comparative data gathered and used from these selected institutions will be both quantitative and qualitative to allow benchmarking of best practices when performance variances are noted in addition to tracking of progress on key indicators.

National and regional data are used in comparisons as available. A few examples include: CUPA HR (College and Universities Professional Association for Human Resources) salary data is used for comparing faculty salaries by discipline and rank; NACAS (National Association of College Auxiliary Services) data is used for comparisons of institutional auxiliary services and support services, i.e. what is the average square footage maintained by a full time custodial employee; participation in the Delaware Study permits access to teaching cost and productivity comparative data for each discipline designated for review.

Comparative data from a number of national studies is also used for academic and administrative assessments, e.g. ACUHO- Resident Assessment, the Collegiate Assessment of Academic Proficiency (CAAP), EBI Undergraduate Nursing, Education and Business Exit Assessments, EBI First Year Initiative (University 101) Survey.

Institutional trend data are also analyzed consistently to support decision making in a variety of areas – enrollment projections, tuition and budget decisions, personnel decisions and operations management.

5	How do you make needed data and information available? How do you make them accessible to your workforce, students, and stakeholders?

Senior leaders recognize the importance of having relevant, reliable and accurate data available in a timely manner. Institutional data is updated regularly to reflect the most current data available for trend analysis and is made available through the web and regular reporting for faculty and staff to access as needed. Data not housed on the web nor contained in a report can be obtained by submitting a data request to the Office of Planning and Organizational Development or the Finance/Budget Office. Data accuracy is often validated through triangulation with USC Columbia's Office of Institutional Assessment and Compliance and the South Carolina Commission on Higher Education.

Data security is a priority for senior leaders who have established an expectation for the campus to comply with industry standards. As the awareness of potential issues arise, plans are created and action taken to ensure the implementation of the appropriate policies and procedures.

6	How do you ensure data integrity, timeliness, accuracy, security, and availability for decision making?

To ensure data integrity, USC has published a chart of data stewards; anyone wanting to use a particular data set must go through the data stewards to ensure data integrity. Also, published data comes from the data stewards. Timeliness of data is an issue with the complex and archaic data systems that are used by the USC System. A new data system has been selected and will be implemented in the next two years.

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7	How do you translate organizational performance review findings into priorities for continuous improvement?

Review of KPIs is one primary method of determining priorities for continuous improvement. As data is collected and reviewed, results are disseminated and analyzed for needed changes or enhancement to operations. If performance data is not trending towards the targeted outcome or data trends change dramatically, senior leaders and responsible department leaders' work together to analyze the data and develop mid-cycle changes or adaptations. The Office of Planning and Organizational Development is also used to provide support and assistance in benchmarking best practices, examine cause and effect situations, and facilitating process redesign or enhancements to lead to improvements. If performance data shows trends are moving in the targeted direction, senior leaders encourage continuation of initiatives and other enhancements to further enhance the results.

8	How do you collect, transfer, and maintain organizational and employee knowledge (knowledge assets)? How do you identify and share best practices?

Policies, procedures and best practices are often documented to aid in transferring and maintaining organizational and employee knowledge. For the policies and procedures that are not currently documented, an annual tactic was adopted for the upcoming year charging various departments with documenting many of the foundational processes and procedures used on campus.

The identification of best practices is handled differently depending on the focus. Departments benchmarking best practices within their functional areas generally network with other institutions or our identified peer institutions to learn and share ideas about best practices. At an institutional level, senior leaders appoint cross functional teams to identify best practices on a variety of issues both

internally and externally and the teams are charged with communicating their various findings to the campus community. In instances where improvements are needed and internal expertise is insufficient, consultants with an expertise in the area are brought in to work directly with the departments to identify areas of opportunity and aid in developing improvement plans based upon current best practices.

Category 5 – Faculty and Staff Focus

1	How do you organize and manage work to enable your workforce to develop and utilize their full potential, aligned with the organization's objectives, strategies, and action plans and promote cooperation, initiative, empowerment, innovation, and your organizational culture?

Senior leaders openly discuss targeted improvements in the alignment of personnel and work processes. Discussions and decisions focus on ensuring that processes are seamless and that value is added during each step. Departments also align the administrative outcomes for their office with the mission of their department and the University. These outcomes are assessed annually and a report is submitted to the committee to review and provide feedback on the Administrative Assessments. A committee uses a standardized rubric to provide feedback in a consistent manner; a section of the rubric is dedicated to providing feedback on the alignment of the departmental actions and achievements with the overall institutional goals. USC Upstate has initiated a universal review date this year for the employee performance management system. The timing of the cycle for reviews intentionally lines up with the institutional and departmental planning cycle for the year to aid in facilitating a more formal feedback and planning loop.

2	How do you achieve effective communication and knowledge/skill/best practice sharing across departments, jobs, and locations?

Faculty, staff and students achieve effective communication through various means, see Table 1.1.1. Email is used as the daily standard communication method by faculty, staff and students. The Register is a weekly newsletter for faculty and staff that is created through submissions to university communications from all departments across campus. The university website is another means of supporting consistent, effective communication with faculty, staff, students and other stakeholders by providing access to a wealth of information including, but not limited to, faculty/staff on-line directory, policies, course syllabi database, master calendar of all events on campus, strategic plan, campus department overviews, applications, admissions and financial aid information for students, etc. Division, department, and committee meetings are also used to share information.

Knowledge, skills and best practices are shared across campus in both formal settings and informal settings including committee meetings, colloquiums, research symposium, departmental meetings, Chancellor's Cabinet, Academic Affairs Council, Staff Council, etc. Round table discussions are also held frequently, targeting a variety of topics in an open dialogue. Ideas and best practices are shared during training sessions on campus. In some instances, the trainer may have suggestions and participants are allowed to share their own experiences and procedures for handling particular issues.

3	How does your workforce performance management system, including feedback to and from individual members of the workforce, support high performance work and contribute to the achievement of your action plans?

Clear expectations are paramount for employees to perform at the highest level and for the institution to achieve its mission and meet its strategic goals. In the recruitment process, supervisors review and update job duties and ensure that requisite knowledge, skills and abilities are clearly stated within the position description prior to beginning the recruiting process.

Staff: Annually, through the Employee Performance Management System, supervisors provide feedback on the employee's job performance and achievements during the past year. The supervisor and employee also review the employee's position description and reaffirm job expectations. The supervisor and the employee collaborate on specific objectives for the employee to accomplish during the upcoming year. The objectives assigned are directly linked to the department tactics and the institutions tactics for the upcoming year to allow all employees to see the "larger picture" and how the achievement of their objectives impacts the overall progress of the institution.

Faculty: Faculty are provided annual reviews from their supervisors and receive summarized feedback from the students in their courses through an end of course evaluation process. Tenure-track faculty are reviewed by a committee of their peers and colleagues as they work through the promotion and tenure process.

4	How do you accomplish effective succession planning? How do you manage effective career progression for your entire workforce throughout the organization?

Each year senior leaders openly discuss and review the personnel in each division giving particular consideration to positions in which the current employees are near retirement. If retirement or other changes are imminent, a plan and timeline is put into place to ensure cohesion of responsibilities and minimal loss of organizational memory as retirements or other changes occur within the organization. Senior leaders also review the organizational structure and department responsibilities to ensure the organizational alignment is appropriate for supporting the goals of the institution.

The institution does not currently have a formal process for supporting career progression for staff. Each individual supervisor works with the employees within their department through the annual EPMS process to make assignments of objectives that could be developmental in purpose or plan for training or mentoring in the upcoming year. Career progression for faculty is mapped out and governed by the promotion and tenure process which is documented in the faculty manual.

5	How does your development and learning system for leaders address the following: a) development of personal leadership attributes; b) development of organizational knowledge; c) ethical practices; d) your core competencies, strategic challenges, and accomplishment of action plans?

Leadership workshops are offered each semester and are open to current supervisors and others that may want to attend for development to prepare for more responsibility; examples of workshops that are offered on a rotating basis are: situational leadership, DISC profile, effective communication, etc. Leaders can also use dollars in their budgets to attend external workshops. Organizational knowledge is acquired primarily through training provided to all new supervisors within their first thirty days with the university, in addition to on-the-job training and mentoring. Ethical practices are addressed in a variety of ways, 1) responsibility forms are issued and signed before employees are given access to a variety of information and 2) ethics policies are covered with leaders annually. Institutional core competencies, strategic challenges and tactics/action plans are covered with new leaders as a part of their institutional orientation. Since every department participates in the creation of the annual tactics plans in support of the larger strategic plan, as well as the budgeting process, it is imperative for all leaders to understand the process and their role in the process.

6	How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels?

Staffing levels are reviewed by benchmarking other institutions and reviewing minimum requirements of departments and work distribution. To supplement full-time staffing levels, many offices use part-time employees and students workers. The EPMS process is used to gauge skills and

competencies of the workforce and to create development plans for preparation for future responsibilities. Staffing capacity needs are evaluated by identifying job duties and evaluating for skills required for a hiring situation or skills needed for development purposes.

7	How do you recruit, hire and retain new employees?

Our recruitment process is an open process. At a minimum, all positions are posted on the Human Resources webpage and additional advertising is done at the direction of the hiring manager. All applications are reviewed by Human Resources for minimum qualifications and then passed along to the hiring manager/search committee for review. All hires are based on review of credentials/qualifications and best fit for the position and the organization. The biggest issue in retaining employees is maintaining competitive salaries both with faculty and staff. Efforts initiated to retain employees include actively engaging employees in the administration/operation of the university, maintaining competitive pay and benefits, tuition reimbursement, and the option to apply for other positions after one year in the most current position.

8	How does your workforce education, training, and development address your key organizational needs? How do you encourage on the job use of new knowledge and skills?

Education, training and development opportunities are identified at several levels throughout the organization: 1) campus-wide needs, 2) division/department needs, 3) individual needs, and 4) compliance needs. Campus-wide needs are identified through the strategic planning cycle and are intended to address developmental issues from the macro level, e.g. the development and implementation of a new faculty and staff orientation or software training for all employees to prepare for the introduction of new or upgraded software on campus. The development of a summer institute for faculty development of on-line courses was a campus-wide initiative that was identified through the strategic planning process targeting an increase in on-line offerings to add flexibility for students.

Division/department needs are identified either through departmental discussions of topics that could benefit the department or through performance issues, such as, on-going issues with specific processes that may need to be reinforced through training. These training needs are addressed primarily through the division/department leader working with subject matter experts (SME's) on the USC Upstate campus, the USC campus, or contracting with an authority in the area.

Individual training needs are identified primarily through the supervisor and the employee and are based on specific skills the employee needs to be successful in their job. Individual training needs are handled in various ways depending upon the need. Employees can sign up to attend technology training sessions offered on campus and on-line technology training is also available. CD's on a variety of topics are available for loan to employees throughout the year and a variety of personal and professional workshops are offered on campus throughout the year. One-on-one training is also provided on specific university policies and procedures.

Compliance training needs are identified across campus primarily by offices or departments responsible for ensuring compliance, e.g. OSHA training is implemented annually and is coordinated by the office of risk management.

Transfer of skills into the workplace is encouraged/reinforced by the supervisors in the departments. Most of the skill refinement comes through repetitive use of the new skill over a period of time and if needed, the employee can attend another training session or follow up with the trainer for further support.

9	How do you evaluate the effectiveness of your workforce and leader training and development systems?

All participants in training workshops/seminars on campus receive a follow-up survey about the workshop. The feedback from the workshop is sent to the instructor/department that sponsored the training to aid in continuous improvement of workshops. Also, each participant is solicited for feedback on any additional training and development that should be provided on campus. Our training evaluations are generally level 1 & 2 evaluations; we will continue working to move our training evaluations to the next level to ensure transfer of the skills to the work place.

10	How do you motivate your workforce to develop and utilize their full potential?

USC Upstate uses a variety of incentives to encourage and motivate employees to develop and utilize their full potential.
− Employees are eligible for tuition reimbursement for one class per semester after six months of employment.
− Faculty can apply for institutionally funded grants through the Teaching Excellence Committee (TEC); over $78,000 in grants are being awarded annually.
− Faculty are also granted sabbaticals, as appropriate, to allow time to focus on their scholarly endeavors.
− Staff and professional employees are encouraged to continue development in their trade or professions and are often rewarded through merit pay increases or bonuses for their accomplishments.
− Administrative employees are encouraged to participation in professional organizations, attend conferences, etc.
− Employees are eligible to apply for positions on campus after one year in their current position.

11	What formal and/or informal assessment methods and measures do you use to obtain information on workforce well-being, satisfaction, and motivation?

The institution monitors faculty and staff well being, satisfaction and motivation through a variety of measures. Surveys are implemented each year to gauge satisfaction with many of the services, programs and processes on campus and a satisfaction survey covering broad-based topics is implemented ever other year. Faculty and staff have representative committees (faculty welfare committee and staff council) in which issues can be channeled to senior management in a systematic manner. Leaders participate in many open forums on campus that allow for frequent dialogue on issues as they arise, e.g. faculty senate meetings. This year we've added exit surveys for employees leaving the university to help gather additional information about areas of satisfaction and dissatisfaction.

12	How do you use workforce satisfaction assessment findings to identify and determine priorities for improvement?

Data from the programs, services and processes satisfaction surveys are shared directly with the departments that are responsible for implementation/improvements. The data is also shared with the supervisors and senior leaders responsible so the information can be used when developing specific departmental tactics for the next year. Issues that are identified and are considered institutional as opposed to departmental, e.g. issues that arise from the broad-based survey, are discussed with the senior leaders as opportunities for improvement and plans are created targeting improvements/resolutions.

13	How do you maintain a safe, secure, and healthy work environment? (include your workplace preparedness for emergencies and disasters.)

USC Upstate maintains workplace health, safety, and security through a variety of University programs and processes. The USC Upstate police department takes measures to ensure safety and security for faculty, staff, and students. Police conduct regular facilities inspections, patrol campus grounds, and monitor the campus emergency telephone system and campus security cameras. The police also monitor the fire and severe weather alarm systems. Police work with faculty, staff and students to conduct training sessions on crime prevention and the appropriate ways to handle crisis situations on campus. Police conduct various safety programs, such as escort programs. A campus incident plan has been developed and deployed and on-going training if being conducted with the building/floor coordinators. Emergency phones are located outside all buildings on campus. Health Services, primarily a student service operated on campus and staffed with a nurse practitioner and a nursing staff, acts as both first responders on campus and the first line of treatment for work-related, non-life threatening injuries. A security master plan is being developed to equip the campus with additional cameras both inside and outside buildings to improve the efficacy of campus monitoring.

Category 6: Process Management

1	How do you determine, and what are your organizations core competencies, and how do they relate to your mission, competitive environment, and action plans?

The core competencies for USC Upstate were developed by our senior management team, students, faculty, staff and community partners. They are reflected in our missions and vision statements are reflected in our processes and programs.

Institutional Core Competencies	
– Discipline/Technical Competency	– Community Engagement
– Student Focused	– Flexibility /Adaptability
– Diversity/Multiculturalism	– Data Driven
– Strategic Leadership	– Action Oriented
– Tactical Management	

2	What are your organization's key work processes?

See 6.3.1

3	How do you incorporate input from students, faculty, staff, stakeholders, suppliers, and partners for determining your key work processes?

As new processes are designed and current processes are re-engineered, the stakeholders involved in or affected by the process are consulted. The discussions are intended to define the expected outcomes – cycle time, cost, and deliverables – identify constraints and issues, map each step of the process and identify improvements and efficiencies that may be gained through the use of technology. Additionally, we have created a feedback mechanism for each division/department on campus to collect feedback on operations and services to facilitate feedback from faculty, staff, students, alumni, community partners and others directly to the departments on an on-going basis.

Key Work Processes	Stakeholder Input
Education	Assessment, student opinion polls, alumni and first year surveys
Academic Support	Assessment, alumni and first year surveys, faculty feedback
Recruitment	First year student surveys, parent surveys, faculty feedback
Human Resources	Employee surveys, supervisor feedback, employee exit surveys
Finance/Accounting	Auditors, students/parents, accrediting agency
Fund Raising	Advisory board, alumni board, faculty/staff and student government association
Public Relations	Department input, student government association, employee surveys
Safety and Security	Student government association, employees surveys, accrediting agency
Figure 6.3.1	

4	How do you incorporate organizational knowledge, new technology, cost controls, and other efficiency and effectiveness factors, such as cycle time, into process design and delivery?

New process design or process review is handled by cross-functional teams, including students, faculty, staff, administrators, and/or external stakeholders as appropriate. This team considers the operational issues, technology issues, and expected outcomes relative to their charge, investigates various approaches to achieving the desired goals, determines which approach would be most effective and efficient within these constraints, and creates an implementation plan for the process. An example of one such process redesign is the student opinion poll (SOP) process. Because every student in every course each semester is given the opportunity to provide anonymous feedback to the faculty, the process and technology that were being used were deemed inefficient. To redesign the process, a task force was created to look at the entire process step by step as defined below in Figure 6.4.1

Process Steps	Stakeholder(s)	Issues	Outcome
Create SOP questions	Faculty Committee, faculty senate	− Are questions relevant to all areas? − Is the number of questions appropriate? − Do questions provide useful information for faculty?	A standardized set of questions was developed for all courses
Define the administrative steps in the process	Faculty, administrative assistants, assessment representative, and IT	− What makes current process cumbersome? − What administrative steps are necessary to protect the validity of the process?	The current process was deemed unwieldy. In order to protect the integrity of SOPs, neither faculty nor students could handle SOPs more than necessary.
Determine best technology to support	Representative group – faculty, assessment, administration, IT, and finance	− What systems are available that meet the needs and are cost-effective	Class Climate was determined to be the strongest option.
Implementation	Faculty, assessment, IT, finance, administrative assistants	− How can the new process be implemented seamlessly?	Upstate began using its Class Climate SOPs during Maymester 2008.
Figure 6.4.1			

5	How do you systematically evaluate and improve your work processes?

Outcome based evaluations are conducted in an on-going format on processes to provide the necessary data for making adjustments to improve outcomes and satisfaction. As we work to improve our process evaluation efforts, in-process evaluations will be added to aid in quicker identification of areas where processes are not meeting the established standards/metrics. As

assessment data are collected, the departments responsible for the processes work to revise strategies and action plans to continually improve results. Many of the results are disseminated across various departments and committees to allow for broad based participation and planning for enacting new initiatives aimed at improving results.

6	What are your key support processes, and how do you evaluate, improve and update these processes to achieve better performance?

Key Support Processes, Evaluation Methods, Processes for Improving

Key Support Processes	Evaluation Methods	Process for Improving/Updating
Academic Support	# of users, course grades of students using services vs. grades of non-users, satisfaction surveys,	Submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Recruitment	# of student participants, contacts, and presentations; satisfaction surveys; collaboration between areas to ensure maximum utility institutional awards; enrollment targets; efficient processing analyses; internal and external audits.	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Human Resources	Workforce surveys, # employees meets by default EPMS, surveys on satisfaction with learning opportunities, % new hire employee paperwork completed on-time and accurately, # EEO complaints	All data are reviewed by the human resources staff with a focus on improving outcomes. Improvement interventions include process redesign with stakeholder involvement, improved communications, program evolution, etc.
Finance/ Accounting	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Fund Raising	Evaluation results will be based on dollars raised and contacts made in comparison to previous years. Additional criteria include number of new prospects identified and progress being made as they are moved toward a gift.	Better use of donor database to identify and track prospects. Additional training through professional seminars and associations.
Public Relations	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Computing	Evaluation of logs from SPAM Filter, Logs from Labs, reports from TrackIT help desk software and satisfaction surveys.	Information is gathered, evaluated and reviewed by IT staff with a focus on improving customer service, technology efficiencies and user support.
Facilities Maintenance	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Campus Safety/Security	Evaluation of crime/safety and security statistics data, number of incidents on fire inspections and client satisfaction surveys.	Continue to work with Building Coordinators to raise awareness and improve fire inspections. Improve campus infrastructure and networks to improve campus climate.
Figure 6.6.1		

USC Upstate key support processes are designed to enhance and/or facilitate student learning, student success, and student satisfaction. New key support processes or the need for change in key support processes are identified in two ways: 1) identification of a need through the planning process and 2)

identification of a need through surveys and needs assessments. In both scenarios, after the need is identified, the responsible individuals/ departments are asked to collaborate appropriately to design and implement an effective solution. As processes are designed or re-engineered, process assessments are built in through the Plan, Do, Check, Improve (PDCI) cycle to ensure continuous improvement.

7	How does your organization ensure that adequate budgetary and financial resources are available to support your operations? How do you determine the resources needed to meet current budgetary and financial obligations, as well as new initiatives?

To ensure adequate budgetary and financial resources are available and determine needs for current and new initiatives there are three budget and financial management activities that are performed.

1. A budget development process that is directly linked to the University's strategic plan in which all operating units are involved in identifying and coordinating the financial operations and priorities. During this process, priorities are analyzed to determine specific strategies and resources available for implementation. Some allocations are contingent upon the final funding available and are phased in or delayed to insure adequate revenue is available.

2. An institutional planning process to establish long-term strategic goals and annual tactics that are to be accomplished within the available resources. During this process recurring needs and new initiatives are assessed to determine prioritizes. Budget development and management responsibilities are clearly defined for all operations to fully assess resource needs and properly align those needs with unit performance.

3. A revenue determination and tracking system to provide generated revenue projections for all sources, driven primarily by enrollment is also flexible in accommodating changes in state resources. The annual budget plan is subject to several revisions during the budget development process. Also, the Budget Office provides tracking reports for both revenue and expenditures throughout the year in addition to current, on-line budget information available to all operating units.

General Operating Budget Development
for
2009-2010

Revenue
Development

Expenditure
Development

USC Upstate's requests for state funding

State Appropriations
Legislative process with preliminary funding using the Governor's budget and revised after actions by the House and Senate with final funding as passes in the appropriations bill

Strategic Enrollment Planning Task Force's assessment with specific charge to develop revenue generating possibilities and savings targets

Fee Revenue
Preliminary to final enrollment projections revised using committee and enrollment management report

Scholarship Policy and Fee Task Force's assessment of fees to concentrate on revenue increase measures

Budget plans for other funds with justificaions for each group of expenditures

Consolidated budget information for Cabinet review and revision

Unit budget hearings with Chancellor.

Preliminary budget plan developed. Cabinet retreat for review of budget

Preliminary budget plan presented to USC President and Budget Office for review and revision

Final budget plan submitted to and approved by USC Board of Trustees

Final budgets determined and uploaded into the USC management information system

Cabinet budget packages with personnel and operating budget requests based on mission critical activities with required justifications

Personnel justification for all groups with restructuring plans and personnel position changes

Non-personnel justification for each line item

Organizational Development and Planning with Cabinet members to assess staffing and organization

Organizational Development and Planning determines mission critical activities and revises Annual Plan to guide human and financial resource allocations

Category 7 – Organizational Performance Results

1	What are your performance levels and trends for your key measures on <u>student learning</u>, and <u>improvements in student learning</u>? How do your results compare to those of your competitors and comparable organizations?

USC Upstate uses many indicators to evaluate student performance including trend data to aid in assessing the continuous improvement efforts, and comparable data to aid in benchmarking.

<u>Graduation Rates and Freshmen to Sophomore Retention Rates:</u> Six year graduation rates is an indicator that USC Upstate has been focused on for several years. For comparison purposes, graduation rates are reported as a six year graduation rate and only track students that started at USC Upstate as first time freshmen. The six year graduation rate for first time freshmen entering USC Upstate has been inconsistent for many years. As demonstrated in Figure 7.1.1, the six year graduation rate is impacted most directly by retention of the incoming freshmen into their sophomore year. USC Upstate consistently graduates approximately 70% of freshmen that return their sophomore year, which demonstrates the importance of freshmen persistence.

Recognizing the variability in the first-time freshmen retention rate and the understanding of the direct cause-effect relationship between retaining freshmen into their second year and overall graduation rates, decisions have been made to create and implement a variety of student support services, programs and strategies targeting freshmen success (persistence to the sophomore year). The initiatives that have been implemented long enough to capture data are: university 101, supplemental instruction, early intervention program, and learning communities; this upcoming year we are adding a new intervention called MapWorks to aid students in self-identifying areas of concern. The data collected on each of these programs are viewed as "lead" indicators for improving student success and the retention of first-time freshmen. The data on these programs is shared with faculty and staff that assist students in making a decision to use these services. This year an Assistant Vice Chancellor for Student Success was hired in an effort to coordinate all student success initiatives under one leader.
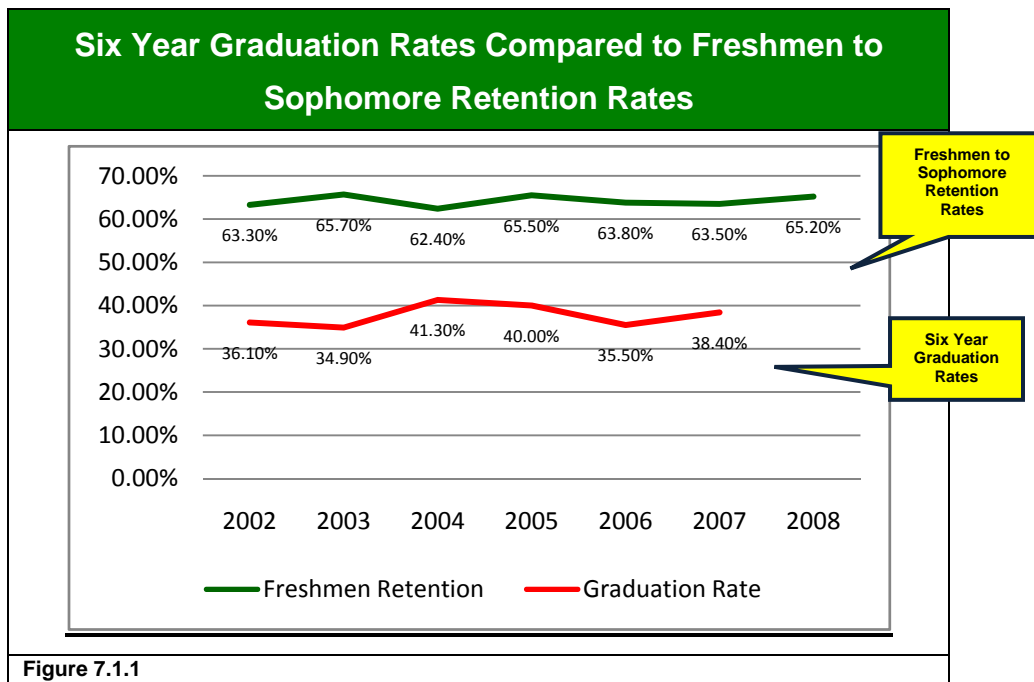
Figure 7.1.1

Degrees Awarded

The number of degrees awarded by USC Upstate has increased significantly, see Figure 7.1.2. USC Upstate awarded a total of 939 degrees in 2007-08.

1998-2008 Increase in Enrollment and Degrees Awarded
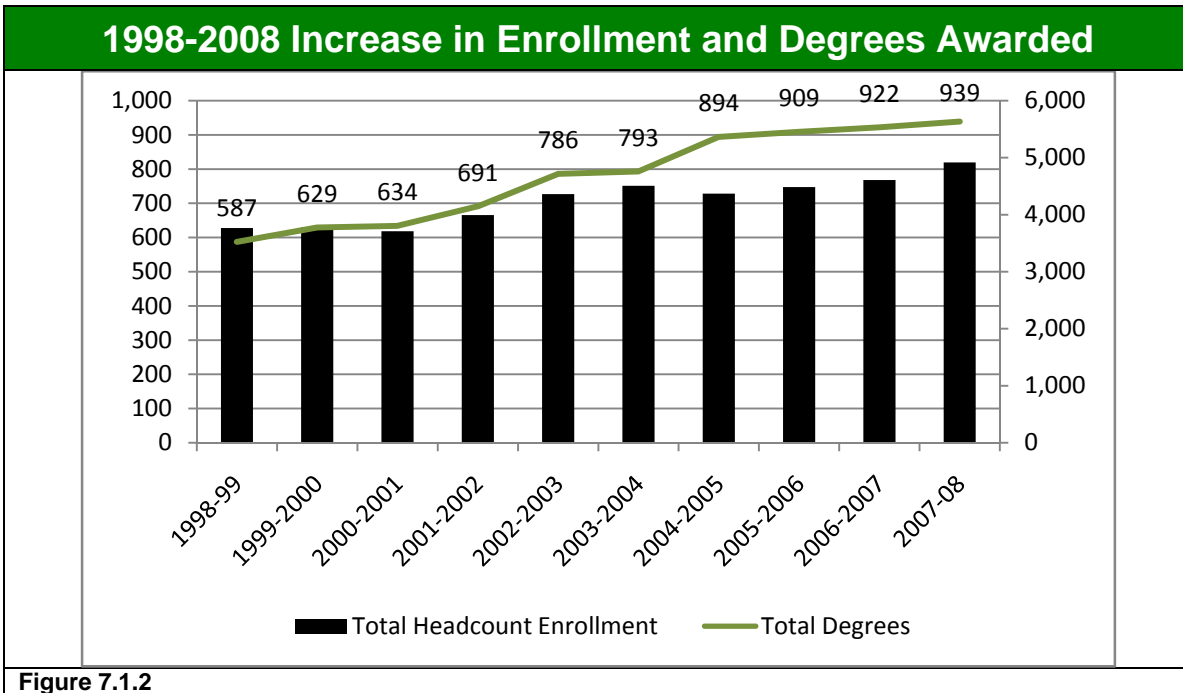
Figure 7.1.2

Recent Graduate Surveys: USC Upstate surveys all graduates from the previous academic year within nine to twelve months after graduation. Figure 7.1.3 notes the percentage of the respondents that indicated they were satisfied or very satisfied with the various components of their academic experience.

Graduate Satisfaction Survey	
	2008-09
Graduate ratings of the following aspects of USC Upstate:	Good/Excellent
Quality of instruction	90%
Value of general education courses	71%
Quality of academic advising	76%
Graduate ratings of the extent to which USC Upstate improved graduates' abilities in the following areas:	**Moderate/Significant**
Clear and effective writing	86%
Clear and effective speaking	85%
Problem solving and analytical thinking	94%
Understanding contemporary issues	83%
Figure 7.1.3	

General Education Competency Assessments:

CAAP Writing Essay Test: Mean composite, essay 1, and essay 2 scores were similar across administrations. Analysis of the composite scores for the three administrations revealed that, although the differences in means were slight, comparing Spring 2009 with Fall 2007 revealed a statistically significant (p<.01) difference.

CAAP Writing Performance

		Spring 2009		Fall 2008		Fall 2007	
	N	**439**		**362**		**349**	
		Upstate	**Nat'l**	**Upstate**	**Nat'l**	**Upstate**	**Nat'l**
Composite	Mean	3.2	3.2	3.2	3.2	3.0	3.1
	Std. Dev	0.6	0.6	0.6	0.6	0.6	0.6
Essay 1	Mean	3.3	3.2	3.2	3.2	2.9	3.2
	Std. Dev	0.7	0.7	0.6	0.7	0.6	0.
Essay 2	Mean	3.1	3.2	3.3	3.2	3.1	3.1
	Std. Dev	0.7	0.7	0.7	0.7	0.7	0.7
Figure 7.1.4							

Fall 2008 CAAP Writing Performance

		Senior Seminar	Sophomores SSPH 201	Freshmen SEGL 101
	N	**439**	**259**	**208**
		Upstate	**Upstate**	**Upstate**
Composite	Mean	3.25	3.00*	3.01*
	Std. Dev	0.6	0.5	0.6

Significant at p<.05 compared with Senior Seminar mean score. No significant difference between SSPH 201 and SEGL 101.

Spring 2008 MAPP Assessment Scores

Score	Our Mean	Standard Deviation	National Mean (Among Master's (Comprehensive) Colleges and Universities I & II)
Total Score	447.37	7.25	447.94
Skills Subscores			
Critical Thinking	112.83	2.00	112.27
Reading	119.43	2.14	119.54
Writing	114.77	1.40	115.12
Mathematics	113.72	2.18	114.30
Context-based Subscores			
Humanities	116.11	1.83	115.78
Social Sciences	114.75	1.84	114.53
Natural Sciences	116.05	1.71	115.93
Figure 7.1.5			

2009 NSSE Results: In the 2008/2009 academic year, the University of South Carolina Upstate participated in electronic implementation of the National Survey of Student Engagement (NSSE) through Indiana University Bloomington. 173 first year students and 213 seniors participated in the survey. The students who participated ranked USC Upstate at or above peer institution groups on level of academic challenge.

Figure 7.1.6

Peer Groups for NSSE Results – *Peer institutions* is made up of schools in our peer set who participated in NSSE 2009. The *Carnegie Class* represents participating institutions who have the same 2005 basic Carnegie Classification of 22 (Baccalaureate Colleges—Diverse Fields). *NSSE 2009* includes all institutions participating in NSSE 2009
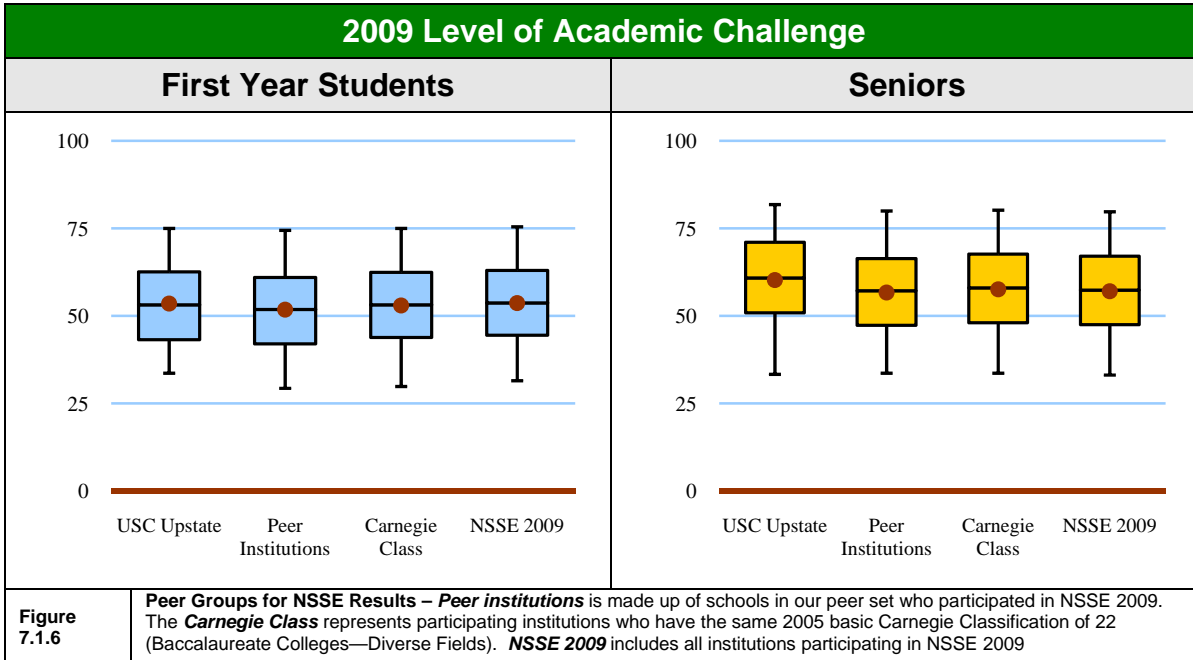
Average SAT Scores: The average SAT score for the incoming freshmen class is a key quality indicator for USC Upstate. This key indicator illustrates an increased interest of quality students in attending USC Upstate and is a strong indicator of growth of the institution's academic reputation. Since 2001, applications for admissions have grown from 1,519 to 2,433 and the average SAT of the incoming freshmen class has increased significantly. During this same period, the incoming freshmen cohort has grown from 616 students with 33% minority representation to 781 students with 33.46% minority representation.

Average SAT & Headcount Trends
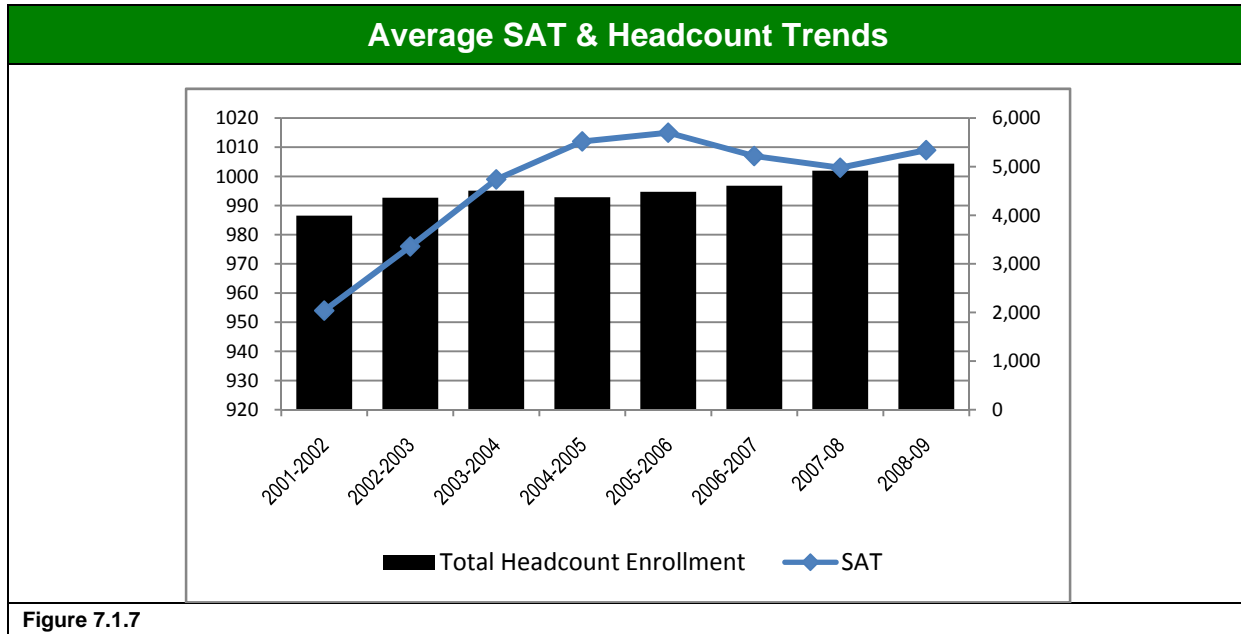
Figure 7.1.7

2	What are your performance levels and trends for your key measures on student and stakeholder satisfaction and dissatisfaction? How do your results compare with competitors and comparable organizations?

USC Upstate uses a variety of methods to collect information from students and stakeholders on their satisfaction and dissatisfaction. Some of the measures tracked include comparative salary data for faculty/staff since salaries can be a cause of dissatisfaction; our goal is to be at the state average or better than the state average on salaries by faculty rank and by job class for staff. We also administer surveys that include satisfaction indicators each spring to students completing their first year at USC Upstate and students graduating in the last year. We participate in NSSE every three years to gain comparative data and this year we participated in the Great Colleges to Work for survey to gain some comparative data. See table below demonstrating some results.

2009 Great Colleges to Work For Survey	Pct. Agree or Strongly Agree	
	USC Upstate	Carnegie: Bac
Job satisfaction/Support	73	76
Career development, Research & Scholarship	71	74
Supervisor/Department Chair Relationship	74	74

In 2009, we are implementing a feedback system to facilitate on-going feedback to departments as opposed to a one time per year survey system. We anticipate this system will allow departments to be more responsive throughout the year.

First Year Students Evaluation: Each year, USC Upstate survey first year students to evaluate their satisfaction with a variety of academic other aspects of their experiences at the University. The data from this survey indicated the following about student satisfaction for 2008-09 first year students:

Profile

Compilation: 0809 First Year

1.1)	Support to aid your transition into the University	Very Dissatisfied	Very Satisfied	av.=3.8
1.2)	Campus facilities	Very Dissatisfied	Very Satisfied	av.=4.1
1.3)	On-campus housing	Very Dissatisfied	Very Satisfied	av.=3.5
1.4)	Student activities and clubs sponsored by Student Affairs	Very Dissatisfied	Very Satisfied	av.=3.7
1.5)	On-campus employment	Very Dissatisfied	Very Satisfied	av.=3.4
1.6)	Opportunities to interact with other students	Very Dissatisfied	Very Satisfied	av.=3.9
1.7)	Opportunities to interact with faculty/staff	Very Dissatisfied	Very Satisfied	av.=3.8
1.8)	Individual attention from/helpfulness of faculty	Very Dissatisfied	Very Satisfied	av.=4
1.9)	Individual attention from/helpfulness of staff	Very Dissatisfied	Very Satisfied	av.=3.9
1.10)	Your overall sense of community	Very Dissatisfied	Very Satisfied	av.=3.9
2.1)	Your major program of study	Very Dissatisfied	Very Satisfied	av.=4.2
2.2)	Instruction in your major	Very Dissatisfied	Very Satisfied	av.=4.1
2.3)	Your general education courses (Non-major degree requirements)	Very Dissatisfied	Very Satisfied	av.=3.8
2.4)	Instruction in your general education courses	Very Dissatisfied	Very Satisfied	av.=3.9
2.5)	Academic advising	Very Dissatisfied	Very Satisfied	av.=3.9
2.6)	Scheduling of classes	Very Dissatisfied	Very Satisfied	av.=3.7
2.7)	Enrollment Process (Admissions, Cashier's Office, Financial Aid, Registrar)	Very Dissatisfied	Very Satisfied	av.=3.7
2.8)	Writing Lab	Very Dissatisfied	Very Satisfied	av.=3.8
2.9)	Tutoring Services and/or Supplemental Instruction	Very Dissatisfied	Very Satisfied	av.=4
2.10)	USC Upstate Library hours/holdings	Very Dissatisfied	Very Satisfied	av.=4.1
2.11)	Your overall academic experience	Very Dissatisfied	Very Satisfied	av.=4.1

Figure 7.2.1

Headcount Enrollment Growth: The growth in enrollment is one strong indicator that students, prospective students and other stakeholders are recognizing the quality reputation of USC Upstate as an in-state choice. USC Upstate has increased enrollment at a rapid rate for the past ten years, only second to Coastal Carolina.
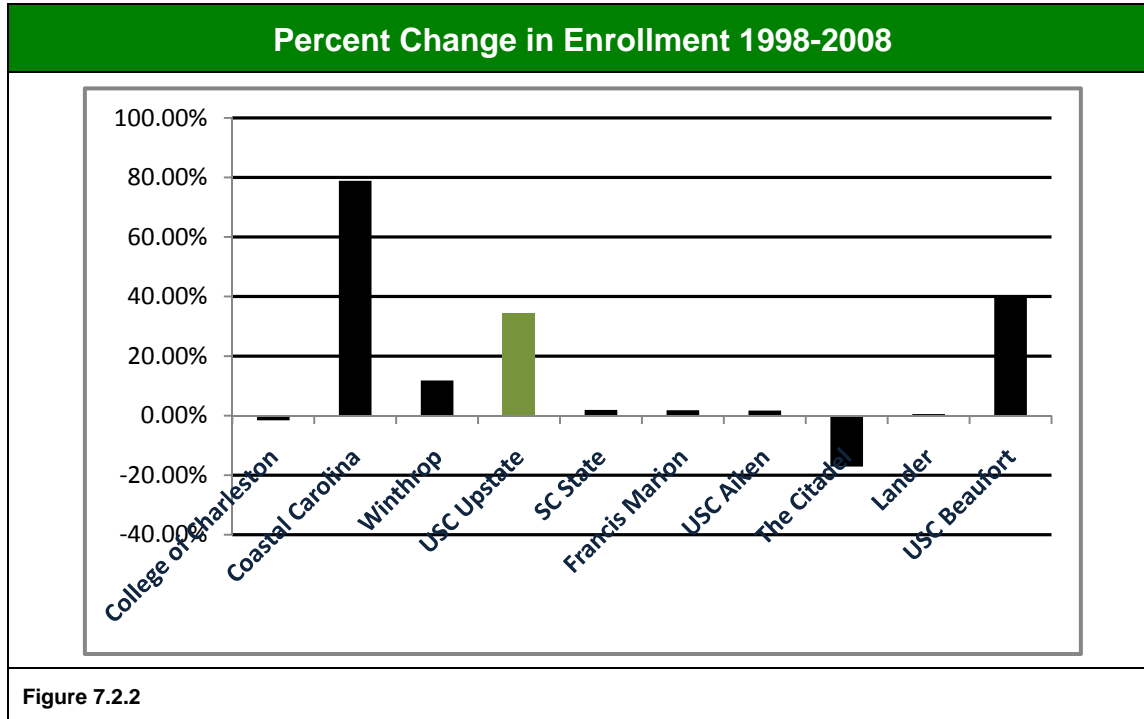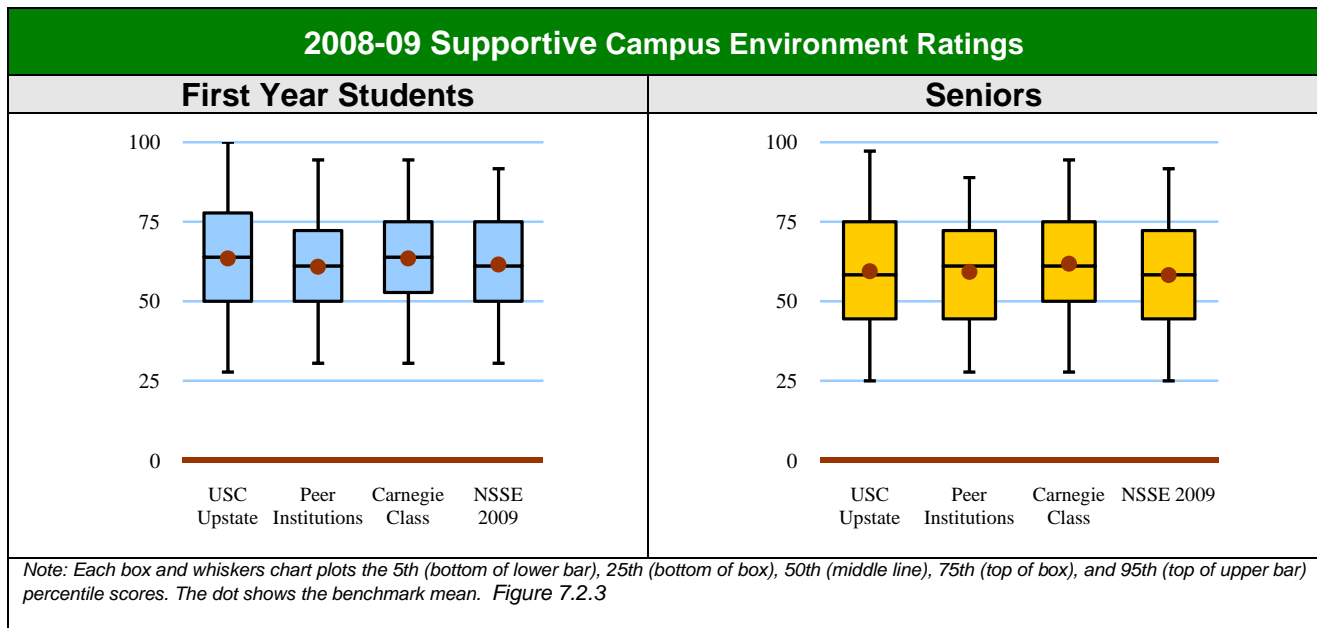

Figure 7.2.2

From the National Survey of Student Engagement (NSSE). 7.2.4 demonstrates that USC Upstate students have a high degree of satisfaction with support on campus.

Note: Each box and whiskers chart plots the 5th (bottom of lower bar), 25th (bottom of box), 50th (middle line), 75th (top of box), and 95th (top of upper bar) percentile scores. The dot shows the benchmark mean. Figure 7.2.3

Faculty salaries have been a challenge for USC Upstate for many years. As a result of completing the analysis, creating a plan and executing the plan for several cycles, we have finally closed the gap for faculty salary by rank with the state average salary by rank. Faculty salaries were an area of dissatisfaction for several years resulting from gap in salaries by rank in a state comparison.

2008 Average Faculty Salaries by Rank- USC Upstate Compared to S.C. Teaching Institutions

Figure 7.2.5
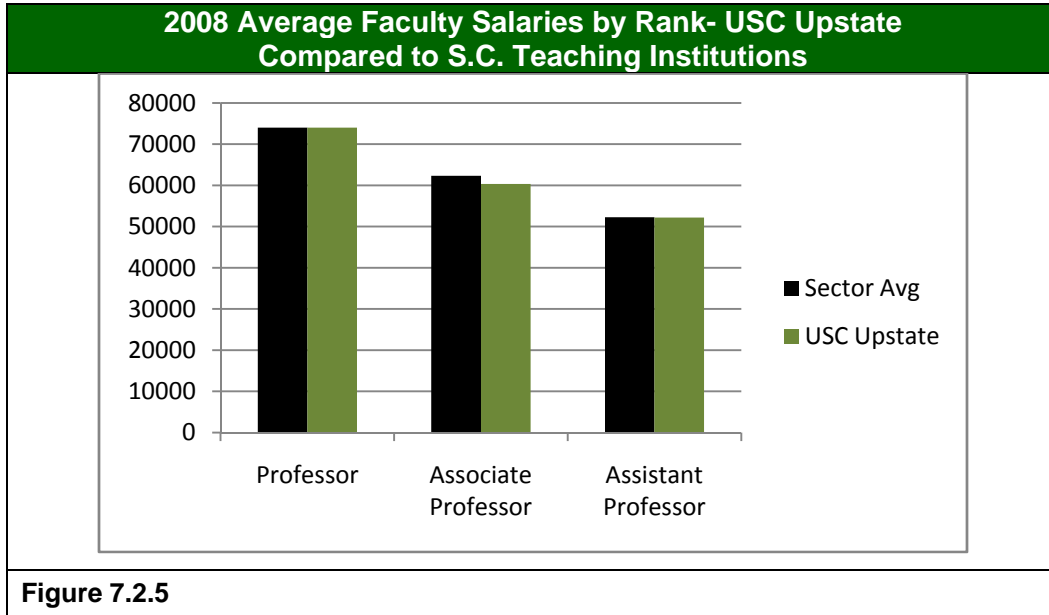
3	What are your performance levels for your key measures on budgetary and financial performance, including measures of cost containment, as appropriate?

USC Upstate uses several key measures on budgetary and financial performance including trend data to aid in assessing the continuous improvement efforts and comparable data to aid in benchmarking. Comparisons of tuition, state funding for S.C. students, CIB funding, and expenditures by program area are a few of the areas that are tracked as budgetary and financial indicators.

Tuition: In 1996-1997, USC Upstate tuition was 10.1% below the teaching sector average and the undergraduate population was growing. To enable the University to grow the campus to accommodate the needs of students, the decision was made to begin increasing tuition in small increments each year with the target of moving USC Upstate tuition to the teaching sector average. At the same time the institution was increasing tuition incrementally to reach sector average, the state began cutting allocations to higher education institutions. These budget decreases caused all public institutions within the state to further increase tuition to cover the budget deficits.

2008-09 Tuition & Fees
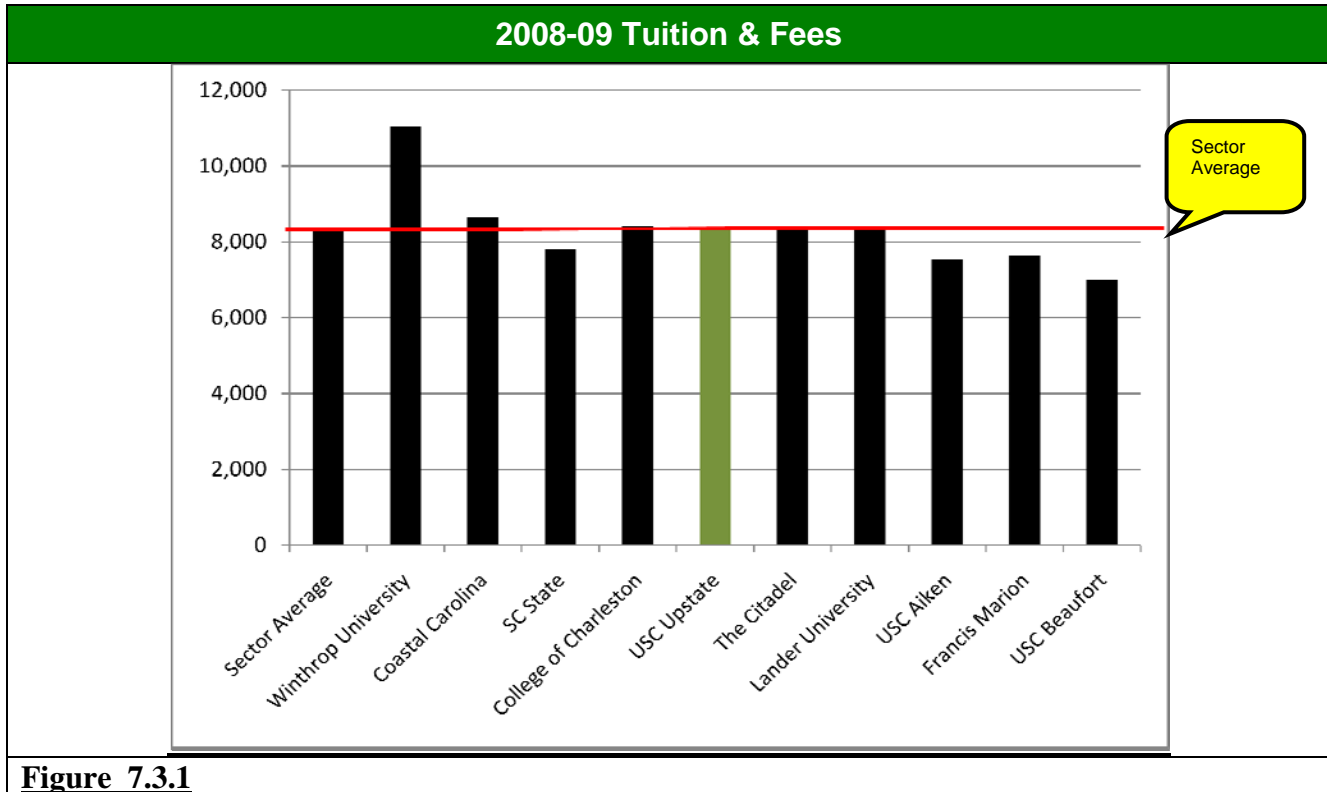
Figure 7.3.1

State Appropriations and S.C. Undergraduate Enrollment: USC Upstate has experienced a large decrease in state appropriations in the last several years; per student dollars have decreased significantly. As demonstrated in the chart below, South Carolina students attending USC Upstate are funded significantly lower than South Carolina students attending other S.C. Teaching Institutions. The states decision to fund USC Upstate at a lower level adversely impacts the cost of tuition.

Average Appropriations per SC Resident FTE for Graduate and Undergraduate Programs Teaching Institutions (Using Fall 2008 Enrollment and 2008-09 Appropriations- post mid-year adjustments)											
Institution	**2007-2008 Appropriation**	**Total HC**	**SC Resident HC**	**SC Resident %**	**Full-time Students**	**Part-time Students**	**SC Resident Full-time Students**	**SC Resident Part-time Students**	**SC Resident FTE**	**SC Resident Appropriation Per FTE**	**Funding Difference from Average**
Avg. SC Teaching Institutions	134,084,792	50,417	38,047	75%	40,502	9,915	30,504	7,543	33,018	4,061	0
USC Upstate	**11,087,479**	**5063**	**4747**	**93.8%**	**4,152**	**911**	**3,893**	**854**	**4,178**	**2654**	**-5,877,413**

Figure 7.3.2

Summary of General Operating Expenditures by Program: USC Upstate continues to invest the majority of expenditures into instruction and academic support in an effort to enrich the quality of the academic experience for all students. The additional dollars expended, from $16,520,008 - 2001 to $26,512,000 - 2008, have gone primarily to the hiring of new faculty and the addition of academic support initiatives targeting improvements in student success.

Program	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2008-09
Instruction/Academic Support	60.8%	60.2%	59.5%	58.8%	58.35%	$26,512,925	56.91%
Research/Public Service	0.3%	0.3%	0.5%	.9%	.94%	$311,268	0.67%
Student Services	9.3%	8.9%	9.6%	6.6%	6.52%	$3,179,965	6.83%
Institutional Support	12.1%	12.8%	13.1%	15.1%	14.72%	$6,574,228	14.11%
Facilities Management	13.8%	14.3%	13.9%	15.3%	15.78%	$8,227,113	17.66%
Scholarships	3.7%	3.5%	3.5%	3.4%	3.69%	$1,785,843	3.83%
Total Expenditures	100.0%	100.0%	100.0%	100%	100%	$46,591,342	100.00%
Figure 7.3.3							

Space Utilization and CIB Funding: Educational space and the utilization of this space are important facilities measures that have direct impact on the University's ability to provide academic programs. USC Upstate's space issues are directly related to the State Capital Improvement Bond, CIB funding. As noted in the chart below, USC Upstate is very efficient and effective in the utilization of space.

Comparison of Classroom Utilization, E & G Space and CIB Funding SC Teaching Universities (2008)					
Institution	CIB Funding	CIB Funding per FTE	E & G Sq. Ft.	E & G Space per FTE	Classroom Utilization (Avg. Weekly Hrs)
College of Charleston	85,672,000	8737	1,345,918	137	34.7
Citadel	55,445,525	17,848	1,027,019	331	15.5
Winthrop	52,562,250	9,800	1,493,787	276	6.5
South Carolina State	51,142,500	11,736	1,030,571	237	21.2
Lander	50,904,579	21,412	604,121	254	23.7
Coastal Carolina	42,309,500	5,560	913,551	120	34.4
USC Aiken	38,567,000	14,129	696,552	255	34.7
Francis Marion	37,308,950	11,110	725,986	216	14.5
USC Upstate	**29,671,500**	**6,666**	**661,238**	**145**	**24.7**
USC Beaufort	9,077,600	7,612	196,123	178	54.2
Total	452,661,404	10,529	7,981,141	186	23.5
Table 7.3.4					

Grants History: USC Upstate is working with faculty to grow grant application submissions; however, we are limited in some respects because we must request approval though USC to approach national foundations. USC will not allow more than one proposal at a time from the USC system.

USC Upstate Grants History					
Year	**DOLLARS**			**NUMBERS**		**Indirect Generated**
	Awards	**Expenditures**	**Submissions**	**Awards**	**Submissions**	
2003	$ 3,253,985	$ 2,496,072	$ 6,525,044	59	35	$ 37,557
2004	$ 3,271,835	$ 2,725,216	$ 6,579,667	55	45	$ 28,571
2005	$ 1,468,095	$ 2,948,205	$ 3,425,862	34	25	$ 19,579
2006	$ 3,097,597	$ 4,291,879	$ 1,429,781	40	24	$ 30,938
2007	$ 1,039,052	$ 2,997,171	$ 2,964,418	31	28	$ 53,861
2008	$ 2,494,057	$ 1,424,596	$1,718,030	31	25	$ 36,640
2009	$ 1,878,198	$ 2,243,741	$3,142,054	28	41	$ 112,007
Figure 7.3.5						

4	What are your performance levels and trends for your key measures of workforce engagement, workforce satisfaction, the development of your workforce, including leaders, workforce retention, workforce climate including workplace health, safety, and security?

USC Upstate faculty and staff results are displayed below in a variety of charts and graphs representing key performance indicators for work system performance, faculty/staff learning and development, well-being, satisfaction and dissatisfaction.

Faculty/Staff Satisfaction: Modifications were made to the faculty, staff and administrator survey in 2008 so there is no comparative data and in 2009 we chose to participate in the *Great Colleges to Work For* survey to gain access to benchmark data; results below. In 2010, the USC Upstate faculty/staff in-house survey will be administered again.

2008 Faculty, Staff, Administrator Survey	Pct. Agree or Strongly Agree	
Overall Satisfaction		
I am proud to work for USC Upstate	89.4	
I enjoy working at USC Upstate	85.1	
We work well together in my department	83.0	
I know what is expected of me in my work	91.9	
Engagement		
In the last year, I have had opportunities at work to learn and grow.	82.3	
I have been involved in discussions about our departments performance and plans	69.3	
My supervisor/dean or chair listens to my suggestions	80.2	
2009 Great Colleges to Work For Survey	Pct. Agree or Strongly Agree	
	USC Upstate	**Carnegie: Bac**
Job satisfaction/Support	73	76
Career development, Research & Scholarship	71	74
Supervisor/Department Chair Relationship	74	74
Table 7.4.1		

Training and Development: Administrative training and professional development is handled both by USC Upstate and USC Columbia since many of the administrative functions and new systems are developed collaboratively. Additional training of faculty is completed on the use of technology in the classroom and teaching on-line. 83.2% of employees that participated in the Faculty, Staff and Administrator Survey indicated that they had opportunities at work to learn and grow in the past year. In a 2008 survey, 89.8% of employees that responded indicated that their supervisors support them attending seminars, workshops and training that are offered on campus. 82% indicate that in the last year, they have had opportunities at work to learn and grow.

Training & Professional Development Seminars						
	2003-2004	2004-2005	2005-2006	2006-07	2007-08	2008-09
Administrative	174	267	149	274	344	137
Computer	26	8	31	37	37	10
OSHA	82	111	62	192	238	92
Personal Development	83	35	73	67	150	10
Professional Training	130	302	78	130	101	78

Information Technology Services Training						
	2003-2004	2004-2005	2005-2006	2006-07	2007-08	2008-09
Computer (various software and programs)	322	150	150	150		400
Instructional Technology	60	50	100	100		143
On-line Course Development	15	24	12	12		25
Innovative Technology Uses(wiki, blog)						32
Table 7.4.2						

Minority Faculty: USC Upstate strives to cultivate a faculty that is balanced in both ethnicity and gender. Figure 7.4.4 demonstrates an on-going commitment to diversity among faculty. USC Upstate also has greater than fifty percent of full-time faculty who are female.

Percentage of Teaching Faculty who are Minority										
Year	The Citadel	Coastal Carolina	College of Charleston	Francis Marion	Lander	SC State	USC Aiken	USC Beaufort	USC Upstate	Winthrop
2004	6.4%	6.6%	9.1%	5.5%	8.4%	69.0%	11.2%	11.3%	12.2%	10.1%
2005	8.3%	7.4%	9.0%	7.7%	9.7%	77.3%	12.8%	10.2%	12.3%	10.3%
2006	9.20%	7.10%	9.10%	6.90%	8.00%	78.80%	11.60%	10.10%	11.70%	11.00%
2007	8.40%	7.80%	9.80%	5.60%	9.00%	79.80%	10.60%	9.70%	12.10%	11.20%
2008	9.5%	10.2%	11.7%	9.0%	6.4%	75.1%	7.8%	8.0%	8.9%	11.0%
Table 7.4.4										

Faculty Credentials: USC Upstate ranks third in comparison to other South Carolina four-year institutions in faculty teaching with terminal degrees in their field. While faculty credentials have been a strength, it is becoming increasingly difficult to replace retiring faculty with faculty that have appropriate credentials. This concern is exacerbated by the tight budget constraints and the planned retirement of faculty in disciplines with national shortages of qualified faculty, e.g. nursing, accounting, math, and spanish.

Percentage of Full Time Faculty with Terminal Degrees									
	The Citadel	Coastal Carolina	College of Charleston	Francis Marion	Lander	SC State	USC Aiken	USC Beaufort	USC Upstate	Winthrop
2002	96.6%	92.1%	92.0%	88.4%	88.7%	86.8%	90.4%	84.2%	93.8%	88.9%
2003	95.1%	90.6%	90.0%	87.7%	86.3%	86.3%	93.9%	85.7%	97.5%	89.4%
2004	90.7%	88.1%	88.6%	88.6%	86.7%	93.4%	94.3%	89.3%	93.2%	89.6%
2005	94.1%	89.9%	88.7%	87.7%	85.4%	95.7%	93.5%	87.5%	96.6%	92.4%
2006	95.0%	94.2%	86.1%	86.2%	85.7%	95.5%	84.0%	82.8%	79.2%	88.9%
2007	92.2%	94.2%	88.7%	87.1%	86.2%	95.8%	76.9%	63.6%	65.1%	89.9%

Table 7.4.5
** no data available

Work Related Injuries and Illnesses: USC Upstate has experienced an increase in the number of reported work related injury cases from 2003 through 2006. Additionally there has been in increase in total days away from work resulting from a work related injury. OSHA training for employees is being completed annually with emphasis being placed on safety procedures for areas where employees have been injured in the past. The Office of Risk Management is working with all supervisors to reduce the exposure rate for injuries and to complete a campus risk assessment that will allow more proactive management of risks.

Work Related Injuries and Illnesses						
	2003	**2004**	**2005**	**2006**	**2007**	**2008**
Total number of cases with days away from work	2	5	5	1	2	1
Total number of cases with job transfer or restriction	0	0	1	5	2	1
Total Number of other recordable cases	5	3	0	4	4	0
Total number of days away from work	183	254	15	0	3	6
Total number of days of job transfer or restriction	0	0	41	185	13	7

Table 7.4.6

EEO Incidents and Complaints: The EEO Office at USC Upstate is very proactive in educating faculty and staff on the federal and state laws surrounding EEO issues in addition to the USC Upstate policies.

| EEO Complaints								
	2005-06		**2006-07**		**2007-08**		**2008-09**	
	Formal	**Informal**	**Formal**	**Informal**	**Formal**	**Informal**	**Formal**	**Informal**
TOTAL	0	2	2	0	0	0	1	2

Figure 7.4.7

5   What are your performance levels and trends for your key measures of organizational effectiveness/operational efficiency, work system performance (these could include measures related to the following: student performance and development; the education climate; responsiveness to student and stakeholder needs; supplier and partner performance; and cycle time).

Freshmen to Sophomore Retention Rates: Freshmen to sophomore retention rates have been inconsistent since 2000. A student success team was established in 2004 to study this issue and to implement plans and initiatives specifically targeting improvement of freshmen to sophomore success. In fall 2006, USC Upstate participated in the Foundations of Excellence program, a
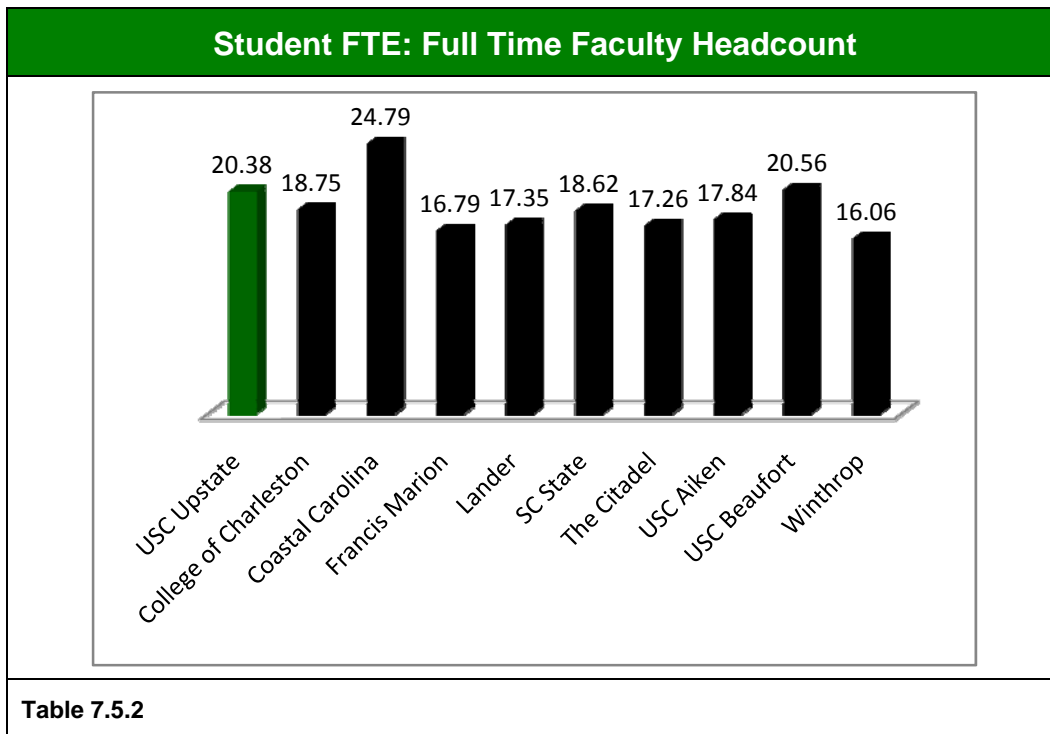
Upstate

comprehensive, guided self-study and improvement process that enhance an institution's ability to realize its goals for student learning, success, and persistence. An outcome of participating in the FoE program was a recommendation to hire an Assistant VC for Student Success to help bring all initiatives under one umbrella with the ultimate result being improved initiatives, better coordination of initiatives, and centralized monitoring of progress.

Educating S.C. Students

The stated mission of USC Upstate is to provide a quality post-secondary education to South Carolina students. See the data below that signifies that the majority of the resources and efforts expended by USC Upstate is to educate S.C. cititizens.

S.C. Students Compared to Total Enrollment

7.5.1
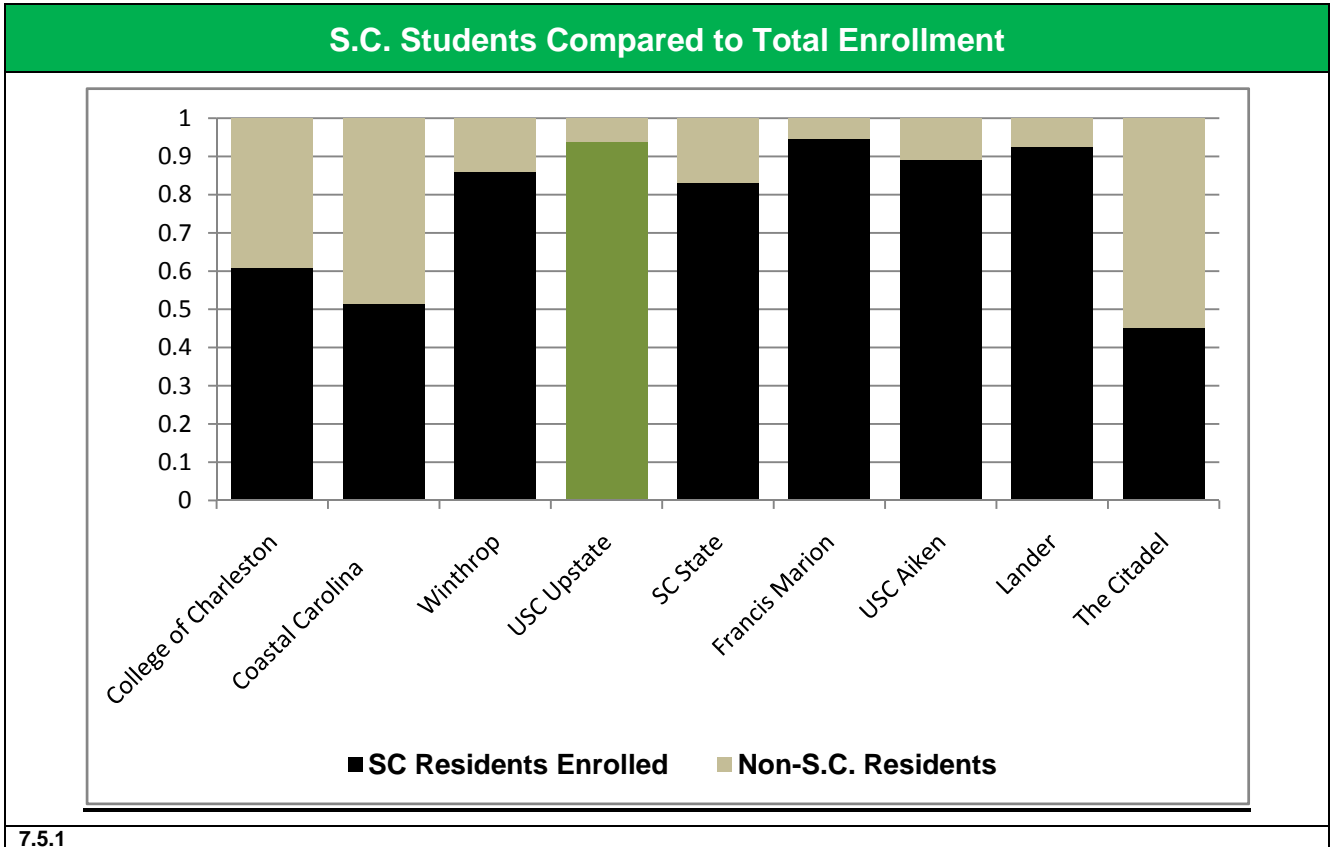
Ratio FTE Student/Full Time Faculty Headcount: Full-time faculty staffing at USC Upstate has been impacted tremendously by both funding and allocation of slots from the state. Note in the chart below that USC Upstate ranks 9th out of 10 in the number of student FTE's per full-time faculty. This lack of full-time faculty impacts class size, number of adjuncts teaching courses, advising loads, time faculty have per student outside the classroom, etc.

Table 7.5.2

Student FTE: Full Time Faculty Headcount							
	2002	**2003**	**2004**	**2005**	**2006**	**2007**	**2008**
USC Upstate	20.8	21.52	20.62	20.90	20.79	20.90	20.38
College of Charleston	20.09	19.88	18.59	18.48	17.97	19.01	18.75
Coastal Carolina	24.38	26.71	26.93	27.06	27.12	26.39	24.79
Francis Marion	21.48	20.25	19.92	19.19	18.78	16.00	16.79
Lander	18.75	18.56	18.39	18.87	17.59	16.49	17.35
SC State	21.25	19.8	21.04	19.73	17.52	19.93	18.62
The Citadel	17.92	20.05	18.84	20.41	18.66	17.60	17.26
USC Aiken	19.11	18.62	18.66	18.01	17.85	17.38	17.84
USC Beaufort	20	18.08	19.8	18.69	19.95	20.78	20.56
Winthrop	19.22	19.41	20.84	19.35	18.87	18.23	16.06
Teaching Sector Average	**20.3**	**20.288**	**20.363**	**20.069**	**19.51**	**19.271**	**18.84**
7.5.3							

Smart Classrooms: Information Technology Services is working with Academic Affairs to create a plan for improving teaching technology in the classrooms targeting instruction. Currently, around 80% of classrooms primarily used for instruction have been enhanced with technology aimed at improving the teaching/learning environment. The chart below demonstrates the commitment to continued improvements of technology in the classroom.

Classrooms Upgraded to Smart Classrooms					
2003	**2004**	**2005**	**2006**	**2007**	**2008**
7	8	27	4	11	27
Table 7.5.4					

6   What are your performance levels for your key measures related to leadership and social responsibility: a.) accomplishment of your organizational strategy and action plans b.) stakeholder trust in your senior leaders and the governance of your organization c.) fiscal accountability; and, regulatory, safety, accreditation, and legal compliance d) organizational citizenship in support of your key communities?

a) The realization and near completion of the USC Upstate ten year master plan and tremendous enrollment growth over the past ten years demonstrates the accomplishments of the organizational strategy and action plans. USC Upstate will be applying for the Community Engagement Classification with Carnegie to demonstrate the accomplishment of mission as a Metropolitan University.

b) Stakeholder trust in senior leaders is demonstrated regularly in a variety of ways: accreditation of the institution by SACS, (Southern Association of Colleges and Schools) which is the regional accrediting body for USC Upstate; USC Upstate has had no sanctions from the accrediting agency. Several academic programs have earned program accreditations, including the National Council for the Accreditation of Teacher Education (NCATE), The Association to Advance Collegiate Schools of Business (AACSB), Computer Science is accredited by the Accreditation Board for Engineering and Technology (ABET) and the School of Nursing is in the final stages of the accrediting process with Commission on Collegiate Nursing Education (CCNE).

Also, USC Upstate Chancellor John Stockwell has also been recognized for his individual and organizational contributions over the past several years and many USC Upstate leaders are being invited to participate on major advisory boards and projects in the community. The private/public partnership with the city on the George Dean Johnson College of Business and Economics also demonstrates the trust and support of the community leaders.

c) As a state agency, the USC System is audited annually and the University has had no major findings. A measure of responsible leadership and accounting management is the lack of audit findings in that report. In addition, internal audits are done for USC Upstate within the USC System audits and specifically for Upstate campus operations.

Accounting and business practices are handled according to state and University policies, procedures and regulations. The campus leadership is responsible, in coordination with specific processing service areas, to insure compliance.

Insuring campus safety is a major tactic in the University's strategic plan. All units, especially high risk areas, receive safety training annually. The Office of Risk Management, along with the USC Office of Health and Safety, and USC Upstate Police coordinate all safety and security measures with unit managers.

The Office of Legal Affairs in Columbia is responsible for legal issues and reviews all contracts for the University. USC Upstate coordinates this work with that office on a regular or as needed basis.

Campus training has been conducted by Legal Affairs to assist units in proper procedures and actions.

In all areas, there is an organizational structure of units with responsible leadership to insure financial, regulatory, safety and legal items any and issues are managed by addressing situations addressed appropriately.

d) Demonstrations of our organizational citizenship include:
− the newest and largest building on campus will be LEED certified
− introduction of a tobacco free environment on this fall (offering smoking cessation classes to students, faculty and staff free of charge)
− Joining the American College & University's Presidents Climate Commitment and appointing a task force on campus sustainability to encourage improvements in recycling efforts, conservation of energy, etc.
− the opening of the campus wellness center and associated programming targeting improvements in the health and welfare of our faculty, staff and students.
− students raising money and contributing their time and efforts to build a habitat home for a local family