

## **Section I: Executive Summary**

### **Vision, Mission and Values**

**Vision:** 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.

**Mission:** 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.

**Core Values:** 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.

#### **Key Achievements from the Past Year**

- Increased fall 2005 enrollment to approximately 4500 students
- Increased incoming first time freshmen to 749 and increased average SAT to 1014
- Ranked 2<sup>nd</sup> among teaching institutions in the percent of minority teaching faculty on staff
- Invited to join the NCAA Division I Atlantic Sun Conference and received USC Board of Trustees approval to pursue this opportunity on February 23, 2006. On May 16 the formal agreement was signed and USC Upstate became a member of the A-Sun conference and plans the implementation of A-Sun and Division I full competition in 2007-2008. We also announced that we will be adding men and women's track and field and cross country in 2007-2008.
- Appointed a committee to focus on renovating classrooms to enhance the teaching and learning environment. The committee established a number of show case classrooms for use in the spring and surveyed faculty and students to gather feedback on their satisfaction with the enhancements. The surveys focused on comfort, functionality, and durability. The committee also worked with the Information Technology Services department to add teaching technology to additional classrooms. The committee will continue their efforts and develop a plan for future renovations of the remaining classrooms.
- Initiated a Freshman Focus and common reading experience this year, with associated activities driven by an interdisciplinary committee. The 2006-2007 academic year will see an expanded common reading experience named PREFACE: The USC Upstate Reading and Writing Experience.
- Opened the Metropolitan Studies Institute this year and has had a tremendous impact through the facilitation and coordination of efforts in the area of community outreach.

During the spring semester, 192 USC Upstate students were involved in internships or service-learning opportunities on the Southside of Spartanburg related to the Community Outreach Partnership Center (COPC). These students donated 4,992 hours valued at \$39,936. The students worked for a wide variety of organizations and institutions, including healthcare centers, schools, social-service agencies, religious organizations, and other nonprofits. Through these efforts, more than 500 young people on Spartanburg's Southside have been assisted by COPC related activities such as tutoring, mentoring, fine arts programs, and a youth leadership institute.

- Received the Community Outreach Partnership Center (COPC) award. The College of Arts and Science received several new grants this year, most notably the COPC. This center was one of only 13 new centers in the country that were awarded grants— 168 institutions applied for these 13 awards. The COPC grant is in collaboration with 10 community partners in the Upstate that collectively with USC Upstate are providing \$1.5 million in matching funds for the COPC grant to support community outreach efforts in Upstate South Carolina.
- Enjoyed the near completion of new road construction to include East Campus Blvd., North Campus Blvd connector, Valley Falls bridge widening and interchange, campus frontage road and interchange and boundary roadways through a partnership with SCDOT. This was a very strategic initiative for the campus and has greatly improved traffic flow, safety and time commitment for the student body who commute to campus, 75% of which commute.
- Achieved improvements in State funding for 2006-2007 with an additional \$1,877,675 in enrollment related funding. This additional funding resulted in the per student level of funding moving closer to the average funding levels of the other SC higher education institutions within the teaching sector. This additional funding will allow USC Upstate to focus on hiring additional faculty and adding additional space for our expanding student body. These funds are currently non-recurring in the state budget; USC Upstate will be requesting that these funds be converted to reoccurring dollars in the 2007-2008 state budgets.

### **Key Strategic Goals for Present and Future Years**

The institution has six goals that we are focusing on:

- Assure student success as reflected in learning outcomes and persistence to graduation.
- Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.
- Align academic programs with the unique needs and opportunities of the Upstate.
- Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.
- Manage enrollment to achieve distinct and dynamic campus communities in Spartanburg and Greenville.
- Pursue individual, organizational, technological, financial and capital development aimed at operational excellence

## **Opportunities and Barriers**

### **Opportunities**

Launch a successful marketing campaign to increase community awareness and influence public perception. A successful campaign would generate alumni, community and key opinion leader interest and allegiance through awareness of USC Upstate existence, awareness of the quality faculty we employ and student we admit, awareness of the significant influence on the local economy (such as that 85% of our graduates remain in the Upstate to build their lives and careers), and distinguish USC Upstate as a critical partner in the Upstate's economic and social development also differentiating our mission from that of local "competition" of Wofford and Converse.

Gain approval for \$1.8 million to become recurring dollars. The State provided funds for a number of institutions that has experienced significant enrollment growth over recent years to move their funding levels to a more equitable level. USC Upstate received \$1.8 million in this parity funding for academic programs and services. This funding must be maintained as recurring dollars and additional funds obtained to address the teaching excellence initiatives.

Further decentralize decision-making and budget/resource management based on strengthened administrative and academic structures. Academic Affairs has hired new deans of Nursing, Business and the College of Arts and Science in the past two years. These hires transition many of the academic departments from interim staffing to permanent staffing and enable these academic units to develop strategic plans for continuing to improve academic quality and increase enrollment.

Serve as a catalyst for economic development and community revitalization in Spartanburg. With major roadways and interchanges soon to be completed and significant master plan development by USC Upstate, the surrounding region is undergoing a transformation. Land uses will be upgraded and numerous economic development initiatives will be forthcoming. Easier access to campus will provide avenues for greater collaboration and partnerships with the community.

Growth in enrollments and relationships with surrounding high schools and two-year institutions: The high schools located near USC Upstate are the major feeder schools for incoming freshmen each year. The enrollment at these schools is increasing significantly and will directly impact the need for higher education in the region as the students reach college age. USC Upstate's relationship with two-year institutions is also continuing to grow with additional articulation agreements being added each year.

Increase community awareness and influence public perception through Division I athletic transformation. USC Upstate was recently admitted to NCAA Division IAAA and to the Atlantic Sun Conference. This affiliation and the success the athletic programs and individual student-athletes provides an opportunity for a more enriched and engaged campus environment.

**Barriers**

Financial constraints – Although the \$1.8 million in parity operating funding is intended to be a permanent allocation, non-recurring funds were used in the state budget. These funds are being used for recurring academic programs and if not retained will have significant impact on the operating budget and related components.

The fact that no capital bond bill has been issued in many years has resulted in no major academic facility construction funded by bond revenue. With relatively low educational space per student and high classroom utilization, the need for academic space is vital for USC Upstate to continuing growing enrollment and limit the impact that the shortage of classroom and lab space is having on scheduling and course sequencing. To alleviate some of the space pressures a modular building has been brought in this fall to add five classrooms. State capital funds are vital for the continued implementation of master plan initiatives.

Freshmen to sophomore retention rates are a concern for USC Upstate. Many initiatives have been started in the last two years targeting improvement in the freshmen to sophomore retention rate- and ultimately student success. This year, USC Upstate is beginning participation in the Foundation of Excellence program that will lead a large task force through an intensive self study on our first year initiatives.

Systems weakness impacts multiple initiatives. Data driven management and planning is important for measuring and accomplishing the strategic plans of the institution, as well as managing the day to day operations. The current data system used by USC Upstate to gather data on financials, students and personnel is housed at USC and is very archaic. The USC system is working to find a system upgrade (ERP) but will take many years to implement. The current system restricts data mining and work flow enhancement because the system is so out of date.

**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 and objectives and the 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 on 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. 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.

<b>Main Educational Programs and Services and the Primary Method of Delivery</b>
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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 also offer distance education via the internet and two-way interactive video conferencing from various locations.

<b>Academic Programs</b>
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Biology, Business Administration, Chemistry, Communications, Computer Information Systems, Computer Science, Criminal Justice, Early Childhood Education, Elementary Education, Learning Disabilities, Physical Education, Secondary Education, Special Education, Visual Impairment, English, Graphic Design, History, Interdisciplinary Studies, Mathematics, Middle School Education, Non-Profit Administration, Nursing, Political Science & Government, Psychology, Sociology, Spanish, Information Management Systems
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**Expectations and Key Requirements of Key Student Segments, Stakeholder Groups and Market Segments**

<b>Requirements &amp; Expectations</b>					
<b>Students</b>	<b>FTF</b>	<b>TS</b>	<b>NTS</b>	<b>DES</b>	<b>GS</b>
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	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	
<b>Alumni</b>	<ul style="list-style-type: none"> <li>▪ Enhanced institutional stature to add value to their degree</li> <li>▪ Networking opportunities</li> </ul>				
<b>Employers</b>	<ul style="list-style-type: none"> <li>▪ Access to well-prepared employees</li> </ul>				
<b>Faculty/Staff</b>	<ul style="list-style-type: none"> <li>▪ Competitive compensation</li> <li>▪ Opportunities for professional growth and development</li> </ul>				

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 in a variety of locations via ETV and on-line.

**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 in the final stages of the accrediting process with 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, ADA, Civil Rights Acts, and other employment acts.

**Governance System** Your governance system (the reporting relationships between your governance board/policy making body and your senior leaders, as appropriate)

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 nine of the Chancellor’s direct reports who are responsible and directly accountable for various administrative and academic enterprises on campus. The Executive 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 Partners/Suppliers	Roles
High Schools	Supplies quality students as entering freshmen
Two-Year Institutions	Supplies USC Upstate with qualified transfer students
USC	Provides central coordination of many administrative functions and serves as a source of strategic support on a variety of issues
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

**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, Spartanburg and Greenville Technical Colleges are the top competitors for incoming freshmen.

Articulation agreements are in place for these 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 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**

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.

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.

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.

### **Strategic Challenges**

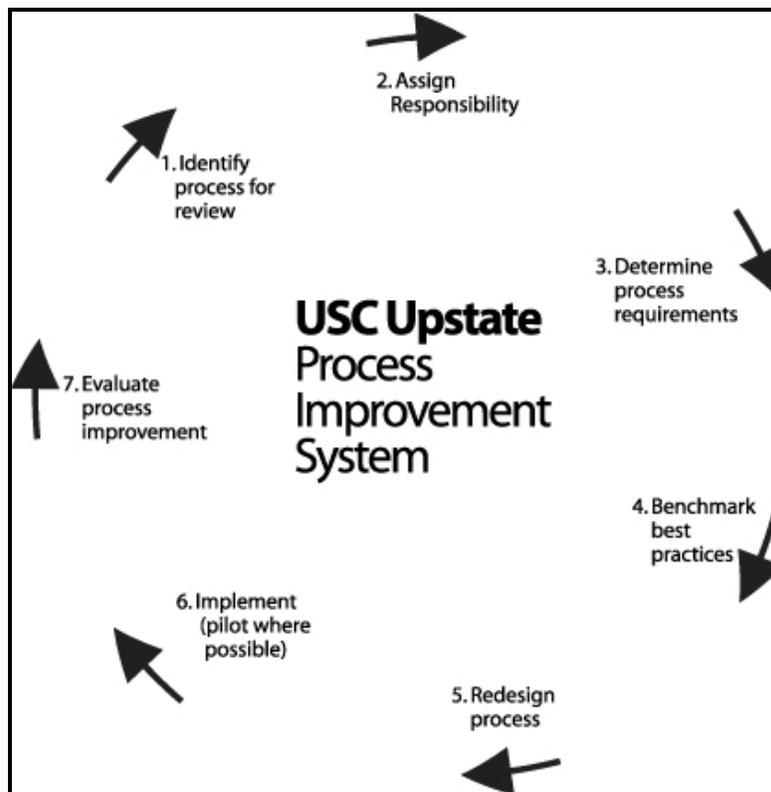
USC Upstate's strategic challenges include attracting and retaining quality faculty, gaining parity funding for both capital and operating dollars, marketing the institution to increase awareness within the community, attracting quality students, retaining and graduating students, collaborating with USC to select and implement an ERP system to replace the current antiquated system, fully implement all aspects of Division I Athletics and completion of the campus master plan.

### **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.



<b>Expenditures Chart</b>
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### Upstate Accountability Report Appropriations/Expenditures Chart Base Budget Expenditures and Appropriations

Major Budget Categories	FY 04-05 Actual Expenditures		FY 05-06 Actual Expenditures		FY 06-07 Appropriations Act	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	\$ 23,532,968	\$ 9,064,745	\$ 25,115,543	\$ 9,427,335	\$ 30,228,055	\$ 9,427,335
Other Operating	\$ 26,610,348	\$ -	\$ 27,381,719	\$ 1,000,000	\$ 35,929,706	\$ 1,000,000
Special Items	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Permanent Improvements	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Fringe Benefits	\$ 5,830,904	\$ 1,710,337	\$ 6,164,642	\$ 1,856,499	\$ 7,052,921	\$ 1,856,499
Non-recurring	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Total</b>	\$ 55,974,220	\$ 10,775,082	\$ 58,661,904	\$ 12,283,834	\$ 73,210,682	\$ 12,283,834

#### Other Expenditures

Sources of Funds	FY 04-05 Actual Expenditures	FY 05-06 Actual Expenditures
Supplemental Bills	\$ -	\$ -
Capital Reserve Funds	\$ -	\$ -
Bonds	\$ -	\$ -

**Major Program Areas Chart**

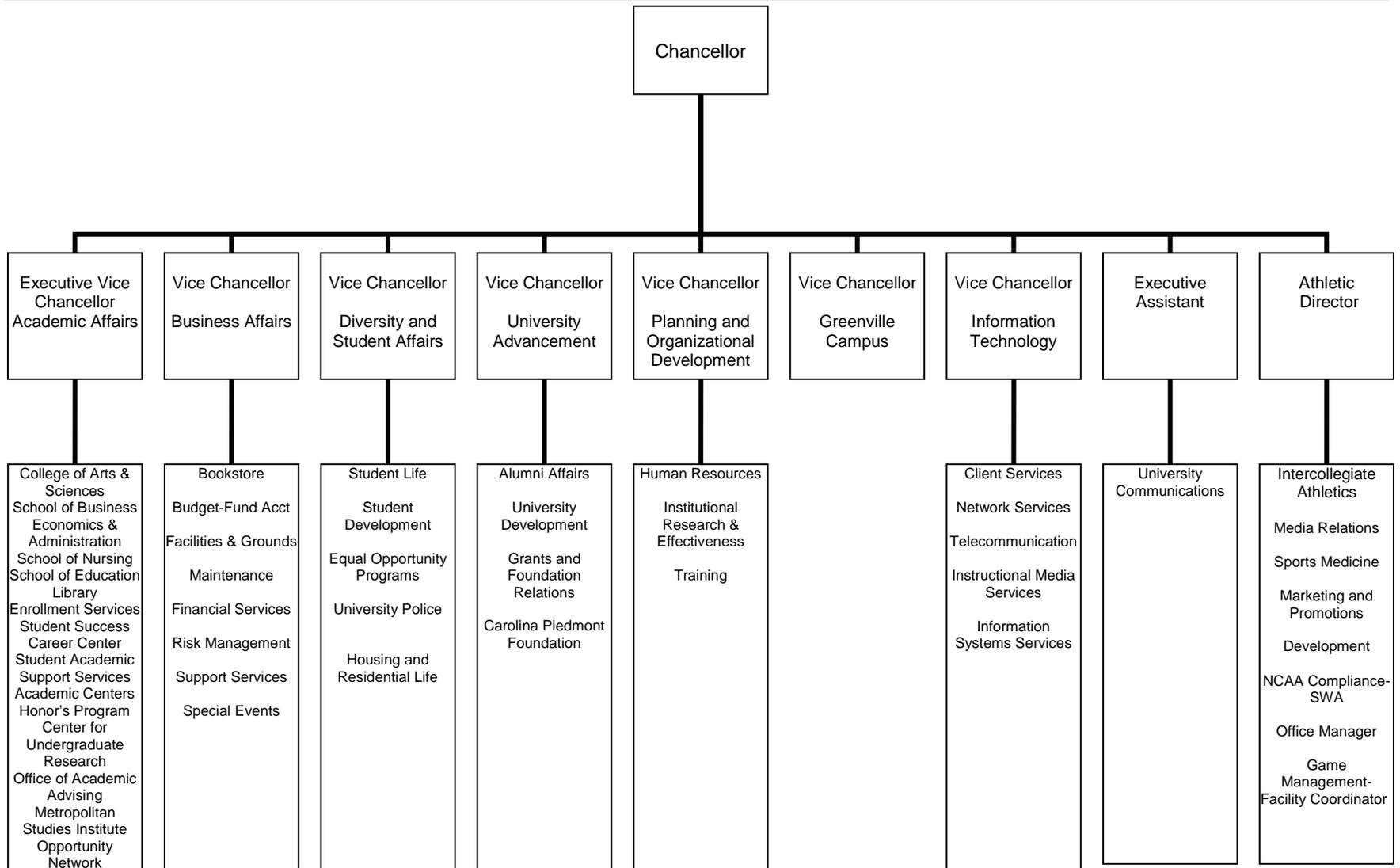
H34-Upstate Major Program Areas								
Program Number	Major Program Area and Purpose (Brief)	FY 04-05 Budget Expenditures			FY 05-06 Budget Expenditures			Key Cross References for Financial Results*
502	Instruction	State:	5,819,671		State:	6,634,554		7.3.1
503		Federal:	125,197		Federal:	146,638		7.3.2
504		Other:	12,811,206		Other:	12,352,705		7.3.3
505		Total:	18,756,074		Total:	19,133,897		7.3.5
		% of Total Budget:		33.51%	% of Total Budget:		32.62%	
507	Auxiliary	State:	0		State:	0		
508		Federal:	0		Federal:	0		7.3.6
509		Other:	2,725,781		Other:	2,983,283		
		Total:	2,725,781		Total:	2,983,283		
	% of Total Budget:		4.87%	% of Total Budget:		5.09%		
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		7.3.1
		Federal:	112,253		Federal:	13,032		7.3.3
		Other:	256,968		Other:	148,219		7.3.5
		Total:	369,221		Total:	161,251		
		% of Total Budget:		.66%	% of Total Budget:		0.27%	
497	Public Service-Activities established to provide non-instructional services beneficial to individuals and groups external to the institution.	State:	22,837		State:	26,034		7.3.1
		Federal:	2,000,435		Federal:	1,091,496		7.3.2
		Other:	819,974		Other:	885,037		7.3.3
		Total:	2,843,246		Total:	2,002,567		7.3.5
		% of Total Budget:		5.08%	% of Total Budget:		3.41%	
498	Academic Support-Administrative functions that directly support instruction, research, career advising, and public service to include libraries, computing services, and academic administration.	State:	1,059,233		State:	1,207,550		7.3.1
		Federal:	0		Federal:	0		7.3.2
		Other:	2,638,008		Other:	3,181,152		7.3.3
		Total:	3,697,241		Total:	4,388,702		
		% of Total Budget:		6.61%	% of Total Budget:		7.48%	



499	Student Services- Student focused activities to Include admissions, registration, health, athletics, academic advising, student organizations, and other student services.	<b>State:</b>	1,119,431	<b>State:</b>	1,276,177	7.3.1
		<b>Federal:</b>	0	<b>Federal:</b>	452,579	7.3.2
		<b>Other:</b>	3,664,141	<b>Other:</b>	4,432,098	7.3.3
		<b>Total:</b>	4,783,572	<b>Total:</b>	6,160,854	
		<b>% of Total Budget:</b>	8.55%	<b>% of Total Budget:</b>	10.50%	
500	Operations & Maintenance-Facilities support services to include campus security, capital planning, facilities administration, buildings and grounds maintenance, utilities, and major repairs and renovations.	<b>State:</b>	1,351,357	<b>State:</b>	1,540,577	7.3.1
		<b>Federal:</b>	0	<b>Federal:</b>	0	7.3.2
		<b>Other:</b>	4,498,689	<b>Other:</b>	4,007,809	7.3.3
		<b>Total:</b>	5,850,046	<b>Total:</b>	5,548,386	7.3.4
		<b>% of Total Budget:</b>	10.45%	<b>% of Total Budget:</b>	9.46%	
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.	<b>State:</b>	0	<b>State:</b>	0	7.3.1
		<b>Federal:</b>	4,690,436	<b>Federal:</b>	4,720,910	7.3.2
		<b>Other:</b>	7,565,877	<b>Other:</b>	8,706,765	7.3.3
		<b>Total:</b>	12,256,313	<b>Total:</b>	13,427,675	
		<b>% of Total Budget:</b>	21.90%	<b>% of Total Budget:</b>	22.89%	
506	Institutional Support- Administrative functions to include executive management, personnel services, fiscal operations, administrative computing, and public relations.	<b>State:</b>	1,402,553	<b>State:</b>	1,598,942	7.3.1
		<b>Federal:</b>	0	<b>Federal:</b>	0	7.3.2
		<b>Other:</b>	3,290,173	<b>Other:</b>	3,256,347	7.3.3
		<b>Total:</b>	4,692,726	<b>Total:</b>	4,855,289	
		<b>% of Total Budget:</b>	8.38%	<b>% of Total Budget:</b>	8.28%	
<b>Grand Total</b>		<b>State:</b>	<b>10,775,082</b>	<b>State:</b>	<b>12,283,834</b>	
<b>Grand Total</b>		<b>Federal:</b>	<b>6,928,321</b>	<b>Federal:</b>	<b>6,424,655</b>	
<b>Grand Total</b>		<b>Other:</b>	<b>38,270,817</b>	<b>Other:</b>	<b>39,953,415</b>	
<b>Grand Total</b>		<b>Total:</b>	<b>55,974,220</b>	<b>Total:</b>	<b>58,661,904</b>	
<b>Below: List any programs not included above and show the remainder of expenditures by source of funds.</b>						

Remainder of Expenditures:	<b>State:</b>	<b>State:</b>
	<b>Federal:</b>	<b>Federal:</b>
	<b>Other:</b>	<b>Other:</b>
	<b>Total:</b>	<b>Total:</b>
	<b>% of Total Budget:</b>	<b>% of Total Budget:</b>

\* 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 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 all faculty and staff, 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 Executive Vice-Chancellor’s Deans’ Council, and expanded Academic Affairs Council, were designed to support cross-functional participation, communication, decision-making, and accountability throughout the organization in support of the achievement of the mission and goals. To further engage faculty, staff and students, the senior leadership team has intentionally created a planning process that is very collaborative in nature and includes broad based opportunity for review of the mission, vision, values and goals to ensure annual plans are constantly aligned with the stated purpose of the institution.

Senior leaders also participate in an annual retreat to review and discuss organizational performance. This discussion and analysis revolves around a data review of institutional key performance indicators (KPIs), budgetary and finance considerations and a SWOT (strengths, weaknesses, opportunities and threats) analysis. From the review and analysis, the team begins the development 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 detailed operational tactics and plans that are later reviewed to ensure the compatibility of priorities with resource allocations – financial and human resources. Finally, the annual plans are summarized and shared through a variety of means with institutional faculty, staff and external stakeholders.

The mission, vision, values, goals, key performance indicators and organizational performance and progress are continually reviewed and reinforced through a variety of communications targeting faculty, staff, students and other stakeholders.

<b>Communication</b>	<b>Audience</b>	<b>Purpose</b>
USC Upstate web site	All Stakeholders	Update current and prospective students, community partners and alumni. A means for faculty and staff to access information.
Strategic Plan	All Stakeholders	Define and communicate the direction of the institution
Register	Faculty/Staff	A weekly communiqué to the campus community. Provides opportunities to educate, inform, and to share news, i.e. new employees, faculty accomplishments, etc.
E-Blast	Students	A weekly e-mail update to all students includes upcoming events, campus news, student accomplishments, and opportunities for social, academic and community involvement.
Parent Newsletter	Parents	Created five times a year to provide information about programs and services for students.
University Review	Faculty, Staff, Alumni, Partners and Donors	A magazine published three times per year. Serves as a means to promote the university, to highlight donors, to 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.
Conversations w/ the Executive Vice Chancellor	Faculty/Staff	Provides a forum for open dialogue on strategic issues to allow free flow of ideas between faculty, staff and the Executive Vice Chancellor.
General Faculty Meetings	Faculty	Meeting open to all faculty twice per semester. Senior leaders update on a variety of issues effecting the University.
Chancellor’s meetings with local legislators	Legislators	An annual meeting presenting University accomplishments and legislative challenges, in hopes of garnering support , as well as, thanking legislators for past support and advocacy.
Faculty Senate Meetings	Faculty	Monthly meetings with faculty representatives in which senior leaders share information about the direction of the institution.

2. [How do senior leaders promote and support an environment that fosters and requires: legal and ethical behavior; and, fiscal, legal, and regulatory accountability? How are these monitored?](#)

The leadership has established an array of policies that are published and widely disseminated to be used as guides for appropriate behavior in many areas; the Non-Discrimination Policy, the Policy on Avoiding Harassment and the Student Code of Conduct are a few examples. Additionally, the institution regularly offers educational and developmental seminars open to all employees ranging in topics from *Avoiding Harassment* to *Dealing with Legal Contracts* to further reinforce the expectation for compliance. The institution regularly collaborates with USC Columbia in the implementation of internal audits of many of the processes, procedures and departments on campus as a means of reinforcing compliance. As an extra measure of support, many USC Upstate departments perform additional intra-campus mini-audits to ensure on-going compliance e.g. students enrolled in an audit course in the school of business collaborated with the Cashiers Office to perform mini-audits of the cash receipting stations on campus.

3. [How do senior leaders create an environment for performance improvement, accomplishment of strategic objectives, innovation, and organizational agility?](#)

Over the last two years, campus leaders have collaborated with numerous cross functional committees to develop institutional key performance indicators (KPIs). These indicators include data on enrollment, student success (retention), graduation rates, budgets, fund raising, etc. Data on the KPIs is frequently shared in the Chancellor’s Cabinet meetings and is also disseminated throughout the campus, as appropriate. Targets for the KPIs are generally stated in terms of improving organizational performance in support of achieving the institutional mission. The Chancellor’s Cabinet also reviews policy matters, audit and compliance matters, and organizational needs and concerns. As issues needing action or improvement are identified, responsibility and accountability are assigned – if the issues are long term in nature, they are moved to the priority list and included in strategic planning. For example, after a presentation to Cabinet reviewing several constraints and concerns over aging classroom furniture and technology in the teaching/learning environment, several actions were deployed 1) appoint a committee for further analysis

and recommendations, 2) conduct a pilot with a variety of innovative furniture models to learn the effects on the teaching/learning environment, 3) install technology to increase the number of “smart” classrooms on campus, 4) reserve funds for supporting classroom renovations once analysis is complete and decisions are made.

4. [How do senior leaders create an environment for organizational, faculty, and staff learning?](#)

Continuous learning for faculty and staff are supported in numerous ways on campus. There are training initiatives focused on institutional policies and procedures for new employees to aid in their quick assimilation to the campus; the policy and procedural training topics include: travel, procurement, purchasing cards, visa card liaisons, planning and booking special events/meetings on campus, and budgets. Computer software training is also offered regularly and is open enrollment so employees can sign up for the training they need. OSHA training is provided annually for employees working in departments where safety training is required including: blood borne pathogens, electrical safety, ladder safety, chemical safety, lifting and back safety and protective equipment. 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 important 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 review the organizational structure and department responsibilities to ensure the organizational alignment is appropriate for supporting the goals of the institution. Since the state has very specific guidelines on recruitment and hiring, a structured mentoring or development plan for future leaders has not been formalized. Efforts to develop future organizational leaders are handled primarily by supervisors. During the Employee Performance Management System process, supervisors work with employees to assign objectives for the next year that may be developmental in nature, supervisors also work with employees on the types of training and development an employee needs to continue to be successful in their current position and ready them for increased responsibility.

6. How do senior leaders communicate with, empower, and motivate all faculty and staff throughout the organization? How do senior leaders take an active role in faculty and staff 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 and Spring University Days in which the Chancellor speaks to faculty and staff at a breakfast conference 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 semester/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 encouraged to share this information with their reports during division and department meetings. The *Register* is also a consistent means of communication with all faculty and staff. It is created and distributed weekly by the office of University Communications and all individuals and departments are encouraged to share information via this format. Each addition is also archived on the web to allow employees to search past issues.

Senior leaders are actively involved in faculty and staff rewards and recognition to reinforce high performance. The Chancellor recognizes high performance from faculty and staff over the past year in his University Day speech and frequently sends personalized notes thanking faculty and staff for specific accomplishments. Faculty and staff are asked to participate in the nominations and selection of the Classified Employee of the Year. All nominees, 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 staff 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 by awarding two Bank of America Excellence in Teaching and Advising Awards and the USC Upstate Annual Award for Scholarly and/or Creative Pursuits.

7. How does your organization evaluate the performance of your senior leaders, 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 analysis of both performance of duties/responsibilities of each department and the "user-friendliness" of each department. Senior leaders within the Academic Division, including the Chancellor, Executive Vice Chancellor and the Deans, are also reviewed by all faculty within their department(s) on their leadership and supervisory responsibilities. Additionally, each senior leader receives an annual review at the conclusion of each academic year in which the

Chancellor reviews their performance, makes recommendations for improvements, and recognizes success.

8. How does your organization address and anticipate any adverse impacts of its programs, offerings, services, and operations? What are the key compliance related 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.

Process	Practices	Performance Indicators
Legal & Safety	<ul style="list-style-type: none"> <li>Workers Comp</li> <li>Fire Audits</li> <li>Crime</li> </ul>	<ul style="list-style-type: none"> <li>Accident rates</li> <li>Follow ups and compliance issues</li> <li># of incidents on campus</li> </ul>
Ethics and Equity	<ul style="list-style-type: none"> <li>EEO</li> <li>Diversity</li> </ul>	<ul style="list-style-type: none"> <li># of complaints</li> <li>Percent of minorities and female employees</li> </ul>
Accreditation	<ul style="list-style-type: none"> <li>SACS</li> <li>Program specific accreditation</li> </ul>	<ul style="list-style-type: none"> <li>Maintaining certification</li> <li>Maintaining certification</li> </ul>

9. 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.

As a member of the Coalition of Urban & Metropolitan Universities, USC Upstate, along with other metropolitan universities, “share the mission of striving for national excellence while contributing to the economic development, social health, and cultural vitality of the urban or metropolitan centers served.” In support of this mission, USC Upstate has created the Metropolitan Studies Institute (MSI) to coordinate a variety of activities, resources and collaborative arrangements within the communities in Upstate South Carolina. The MSI opened this year and has had a tremendous impact through the facilitation and coordination of efforts in the area of community outreach. During the spring semester, 192 USC Upstate students were involved in internships or service-learning opportunities on the Southside of Spartanburg related to the Community Outreach Partnership Center (COPC). These students donated 4,992 hours valued at \$39,936. The students worked for a wide variety of organizations and institutions, including health centers, schools, social-service agencies, religious organizations, and other nonprofits. Through these efforts, more than 500 young people on Spartanburg’s Southside have been assisted by COPC related activities such as tutoring, mentoring, fine arts programs, and a youth leadership institute.

The University administers other educational outreach programs including ACHIEVE and Upward Bound. The ACHIEVE (Academic Challenges Helping Individuals Expand Values and Education) Program is an educational and employment program which serves

high school dropouts (ages 15 to 21) from Cherokee, Spartanburg, and Union counties. The ACHIEVE Program works with these out-of-school youth by helping them work towards completing their education, finding employment, and enhancing their self-esteem in order that they might become productive citizens. The Upward Bound program is designed to increase student participants' motivation, academic and social skills to levels necessary for success in the completion of a program of secondary education, and to enter and complete a program of post secondary education. Eligible participants are from low income families in Cherokee or Spartanburg County with no parent living with the applicant that has completed post-secondary education.

The University actively participates with the local United Way each year, and the Offices of Student Affairs and Alumni Affairs both collaborate with local civic groups. IMPACT, a student community service organization within Student Affairs, sponsors an Angel Tree project each year. The Angel Tree project helps provide gifts for underprivileged children at Christmas. USC Upstate has been co-sponsoring this program with Spartanburg County Department of Social Services for 11 years. Over the course of the eleven years, USC Upstate has sponsored more than 1,500 children making it one of the largest providers for D.S.S in Spartanburg County. USC Upstate also works with a variety of sponsored camps and organizations during the summer to allow the University facilities and resources to be fully utilized during the summer months. In summer 2006, USC Upstate hosted over 2300 guests to campus that were participating in a variety of camps, seminars and competitions. One very high profile competition hosted on the USC Upstate campus this summer was the World Goalball Championships. The IBSA World Goalball Championships are the second most prestigious international competition in the sport and serve as a qualifier for the 2008 Beijing Paralympics Games. There were 28 teams (16 men & 12 women) from 19 countries.

In 2003, USC Upstate entered into a one-of-a-kind partnership between the institution and the S.C. National Guard which led to the construction of a new 54,700 square foot facility on the USC Upstate campus, which the two institutions share. The S.C. National Guard houses its high-end signal corps unit in the facility and the University is provided with additional classrooms, special events locations and support facilities for the soccer stadium and other outdoor athletics venues.

### **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, and competition D. Long-term organizational sustainability and organizational continuity in emergencies E. 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, Faculty Advisory Committee, Department Chairs and Directors. The institutional mission and vision were revised and approved in 2006. The goals of the institution were revised

and reaffirmed in 2004 and will remain fairly constant for the next five years with gradual evolutions and updates to the objectives and tactics based on the current institutional opportunities and challenges.

A) Each year the faculty and staff of the institution participate in an environmental scan analysis (SWOT) that is used as a primary driver for establishing key priorities for focus in the next year. This year, approximately 90 employees participated in the environmental scan survey. All of the responses are captured and organized into one document for review by senior leaders. Trend and comparative data are reviewed for each key performance indicator (KPI) throughout the year and during the annual planning retreat and ad hoc survey data, e.g. EBI Residential Housing Survey, is also used for further analysis in key performance areas to aid decision making. Senior leaders also review and regularly discuss local, state and federal issues that may influence higher education and the specific impacts for USC Upstate.

B) Each tactic proposed for the upcoming year undergoes a cost/benefit analysis prior to budget prioritization and the allocation of new/additional funds. Also, 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.

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) One 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. Additionally, 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 USC Upstate 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 and close coordination and involvement of the Chancellor's Cabinet with all elements of the strategic and master plans allows for fund reallocations as necessary to support progress in needed areas.

E) 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 you evaluate and improve your strategic planning process? Note: Strategic Planning process refers to your organization's approach (formal or informal) to a future-oriented basis for business decision, resource allocations and management, to include how relevant data and information are gathered and analyzed. This process may use various types of forecasts, projections, options, scenarios or other approaches to address the future.

USC Upstate's strategic planning process is 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 the implementation and deployment cycle, progress is regularly reviewed within the divisions/departments to ensure progress is being made as anticipated. Any lags, fluctuations in progress due to unanticipated events or influences or unforeseen opportunities are reported to senior leaders and plans are refined accordingly.

3. What are your key strategic objectives? (Addressed in Strategic Planning Chart)

4. What are your key action plans/initiatives? (Addressed in Strategic Planning Chart)

5. 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 each senior leader in the Chancellor's Cabinet is 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 on in a consistent, organized reporting structure by division and established prior to the deployment of plans. 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.

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

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. 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 web site.

7. 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 in the Chancellor's Cabinet meetings. During these mid-year updates, senior leaders learn of any 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 cabinet team 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.

8. How do your strategic objectives address the strategic challenges you identified in your Organizational Profile?

In the strategic planning cycle, environmental scans are reviewed and strategic challenges are identified. Each of these strategic challenges has been addressed through the development of strategic goals and supporting strategic objectives. The strategic 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. Additionally, each year, senior leaders review updated SWOT's, budget constraints, and performance on key indicators prior to developing and prioritizing tactics for the upcoming year.

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

[http://www.uscupstate.edu/about\\_upstate/planning/planning.asp](http://www.uscupstate.edu/about_upstate/planning/planning.asp)

## Strategic Planning

Program Number and Title	Supported Organization Strategic Planning Goal/Objective	Related FY 05-06 Key Action Plan/Initiative(s)	Key Cross References for Performance Measures*
1	Assure student success as reflected in learning outcomes and persistence to graduation.	<ul style="list-style-type: none"> <li>• Increased number of sections of University 101</li> <li>• Increased faculty participation in student success</li> <li>• Completed application to participate in Foundations of Excellence Program</li> <li>• Develop a standard reporting format for data analysis targeting student success</li> <li>• Participated YFCY survey</li> <li>• Completed alumni surveys to gather satisfaction data</li> </ul>	<p>7.2.1</p> <p>7.2.3</p> <p>7.2.4</p> <p>7.5.1</p> <p>7.5.2</p>
2	Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.	<ul style="list-style-type: none"> <li>• Completed surveys to develop baseline satisfaction data stream to enable continuous improvement</li> </ul>	<p>7.2.1</p> <p>7.2.2</p> <p>7.2.3</p> <p>7.2.4</p> <p>7.4.1</p> <p>7.4.2</p>
3	Align academic programs with the unique needs and opportunities of the Upstate.	<ul style="list-style-type: none"> <li>• Revised general education program – approved by faculty senate in May 2006</li> <li>• Gained approval for Eng. Tech 2 + 2 program</li> </ul>	N/A
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.	<ul style="list-style-type: none"> <li>• Received several grants, including the HUD grant that focuses on community and social outreach</li> <li>• Developed the Metropolitan Institute</li> </ul>	<p>7.3.3</p> <p>7.3.5</p>
5	Manage enrollment to achieve distinct and dynamic campus communities in Spartanburg and Greenville	<ul style="list-style-type: none"> <li>• Initiated a strategic enrollment task force to analyze enrollment growth patterns and create 5 year projections</li> </ul>	<p>7.3.2</p> <p>7.3.4</p>
6	Pursue individual, organizational, technological, financial and capital development aimed at operational excellence.	<ul style="list-style-type: none"> <li>• Continued development of campus master plan and lobbied for additional state dollars to help fund operations to cover enrollment growth</li> <li>• Addition of smart classrooms</li> <li>• Gather baseline survey data on faculty/staff satisfaction</li> <li>• Increase training &amp; development opportunities</li> </ul>	<p>7.3.6</p> <p>7.5.4</p> <p>7.4.1</p> <p>7.4.2</p> <p>7.4.3</p> <p>7.4.4</p> <p>7.4.5</p>

\* 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. The mission statement also states that 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 in other institutions, projecting faculty needs, cost and other program expenditures. All program proposals must also be approved by USC and SC Commission on Higher Education.

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 the individual divisions/departments across campus to maintain a consistent awareness of the needs, expectations and attitudes of stakeholders and students throughout their academic careers at USC Upstate.

<b>Stakeholders – Methods for Listening and Learning</b>	
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), MonsterTrak Job Search Website
Community Partners	University Review Magazine, One-on-one meetings with senior leaders, Chancellor’s community organization speaking engagements
USC System & Board of Trustees	USC System Meetings, USC Board of Trustees Meetings

**3. How do you use information 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 handled in a decentralized manner throughout the various departments on campus or facilitated through the Office of Planning and Organization Development in support of department initiatives. Senior leaders work with the various division/departments within their purview to ensure the assessment methods used to gather feedback on particular services and programs are valid and reliable and are continually updated. All assessment data is analyzed to ensure programs and services are meeting the expectations of the stakeholders and complying with the internally established standard. The continuous improvement cycle is followed to ensure that improvements/enhancements are made based on the feedback received. Two specific examples in which information gathered over the past academic year has resulted in action targeting improvements are 1) the formation of a task force to review summer school offerings and cost and 2) revising the process for advising incoming freshmen during summer orientations. As improvements are implemented, assessments will be refined and monitored to ensure further adaptations and modifications are made as needed.

USC Upstate also participates in a number of national studies that provide a mechanism for comparative program analysis and trend analysis. The Undergraduate Nursing Exit Assessment survey conducted by Educational Benchmark Inc. is an example of an assessment survey administered to all nursing students nearing graduation. The results will be compiled and reported from EBI in an electronic format. This survey also allows the School of Nursing to select six peer nursing programs and receive comparative results from those peer programs to be used as benchmarks.

**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 including EBI First Year Initiative (University 101) Survey, Cooperative Institutional Research Survey (CIRP) for freshmen, Your First College Year Survey for freshmen completing their first year of college, EBI Faculty Survey, alumni and placement surveys, faculty/staff survey on administrative programs and services, student meetings with advisors, end of course evaluations, meetings with SGA (Student Government Association) and other satisfaction surveys targeting specific programs and services. 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.

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 recruiting efforts such as Fab Fridays, Juniors Scholars Day, 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, 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 provides 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, Freshman Five mentoring program – beginning Fall 2006, classroom presentations, service learning, 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 at Greenville, 2+2 agreements with technical schools, interdisciplinary studies program, etc.) Also, parents 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 also 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 elderly people 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 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). 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 on the mission, values, strategic goals, objectives and the daily operations of the institution. Consideration is also given to the availability of comparable data from other institutions to allow for benchmarking, the ability to collect and analyze data trends and to determine cause and effect relationships. Senior leaders also work within their areas of responsibility to develop key performance indicators to assess the effectiveness of their operations in achieving their mission and in assuring compliance with all accreditation standards.

2 How do you use data/information analysis to provide effective support for decision making throughout your organization?

Performance data are regularly used in decision making throughout the institution, including, but not limited to, admission data, enrollment, data, student achievement data, student satisfaction data, 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 on a consistent cycle and distributed to committees, leaders and other interested stakeholders to support decision making on a variety of levels. A good example of data review and analysis causing further examination and the creation of plans for action is an analysis on the graduation rates of transfer students. After reviewing the graduation rates in detail and breaking the data down by the number of credit hours

transfer students enter with, it was apparent that transfer students entering with 30 or less credit hours were much less likely to graduate than transfer students entering with greater than 30 credit hours. Based on this information, discussions are underway about the type of support services these students may need, similar to the support services targeting new freshmen.

**3 What are your key measures, how do you review them, and how do you keep them 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 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, 6 year graduation rates, Tutorial Services participants academic performance data, FYI Survey (First Year Initiative )for University 101 students, CIRP/YFCY freshman 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, CIRP/YFCY/NSSE surveys on a rotating basis, FYI Survey targeting experiences of UNV 101 students, Alumni Surveys
Finance	Tuition, State Appropriations, Enrollment, Greenville Credit Hour Production Scholarship Funding, Grants, CIB Funding
Faculty/Staff	Terminal Degrees, Competitive Salary, Satisfaction, Student/Faculty Ratio
Operational Efficiency/ Effectiveness	Student/Faculty Ratio, Degrees Awarded, State Appropriations/Student FTE Space Utilization, Master Plan Development
Educational Compliance	Accreditations

**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?**

The institution is currently working through a rigorous process to identify peer and aspirant 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 many 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; and participation in local salary survey compiled by Spartanburg Development Association allows access to wage averages for many administrative positions in the local area.

Comparative data from a number of national studies is also used for academic and administrative assessments. The assessments currently being used include, but are not limited to: ACUHO- Resident Assessment, the Collegiate Assessment of Academic Proficiency (CAAP), EBI Undergraduate Nursing Exit Assessment, EBI First Year Initiative (University 101) Survey, CIRP Cooperative Institutional Research Survey for freshmen, Your First College Year Survey and the EBI Faculty Survey.

Institutional trend data is 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 ensure data integrity, timeliness, accuracy, security and availability for decision making?

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 Research 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. Two examples of changes that were implemented this past year are: 1) an outside company was contracted to shred all sensitive documents that needed to be disposed of and 2) the use of student workers in areas with access to employee information has been stopped.

#### 6 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.

**7 How do you collect, transfer, and maintain organizational and employee knowledge? 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. For standing faculty committees on campus that deal with a broad spectrum of issues, a decision was made and voted through this last year to allow chairpersons of committees to serve for two consecutive years, as opposed to one year, to slow the loss of organizational memory and provide more stability and consistency of focus for committee members.

The identification of best practices is handled differently depending on the focus. Departments benchmarking best practices within their functional areas generally network with other South Carolina 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 with the campus community their various findings. 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 faculty and staff to develop and utilize their full potential, aligned with the organization's objectives, strategies, and action plans? How do you evaluate and improve your organization and HR processes?**

Over the past three years, senior leaders have openly discussed targeted improvements in the alignment of personnel and work processes. These discussions and decisions have focused on ensuring that processes are seamless when they span multiple departments and every step adds value to the stakeholder. Additionally, each department has developed administrative outcomes that are reported on each year to allow departments demonstrate how well they are achieving their objectives/strategies and plan for changes in the upcoming year.

**2 How do you organize and manage work to promote cooperation, initiative, empowerment, innovation, and your organizational culture?**

To promote cooperation and achieve a high degree of cooperation, initiative, empowerment and innovation within the organizational culture, senior leaders support employee engagement at every level. There are a variety of standing and ad hoc committees, cross functional task forces, and other means of engaging employees in the operations of the University. These committee structures are guided by the mission, vision and values of the institution and provide a mechanism for development and deployment of new or revised process, procedures or initiatives. Organizational structure is also reviewed

annually to ensure the appropriate alignment of process, services and programs and every effort is made to decentralize decision making and process, service and program control to a level that is closest to the end user, e.g. when selecting new furniture for classroom renovations, students and faculty were surveyed to ascertain their levels of satisfaction with the different furniture options prior to finalizing any purchases. This type of empowerment is proving to increase satisfaction among employees as they are becoming more engaged in the operations and decision making of the institution.

**3 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. 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. Past editions of the Register are also archived on the University website for future reference. The University web site 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 also 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.

**4 How does your faculty and staff performance management system, including feedback to faculty and staff, 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 its strategic goals. In the recruitment process, supervisors review and update job duties and ensure 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. Additionally, 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: Are also 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 also reviewed by a committee of their peers and colleagues as they work through the promotion and tenure process.

**5 How do you accomplish effective succession planning? How do you manage effective career progression for all faculty and staff 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. 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.

**6 How do your faculty and staff education, training, and development address your key organizational needs? How do you evaluate the effectiveness of this education and training? 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, e.g. the migration of campus from GroupWise email to Microsoft Outlook was a campus-side training initiative in 2003. The development of a Summer Institute for faculty development of on-line courses was also 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 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.

**7 How do you motivate faculty and staff to develop and utilize their full potential? How do you maintain a safe, secure, and healthy work environment? (Include your workplace preparedness for emergencies and disasters.)**

USC Upstate uses a variety of incentives to encourage and motivate employees to develop and utilize their full potential. Faculty are encouraged to apply for institutionally funded grants through the Teaching Excellence Committee (TEC); over \$56,000 in grants have been awarded annually to faculty for the past several years; this year an additional \$20,000 is being added to allow more faculty to participate. Faculty are also granted sabbaticals, as appropriate, to allow time to focus on their scholarly endeavors. Other employees are encouraged to continue development in their trade or profession as well. Employees from the facilities department are encouraged to complete the certifications in their trades and are rewarded through merit pay increases for their accomplishments. Other administrative employees are also encouraged to continue professional development through participation in professional organizations, attendance at conferences, etc.

USC Upstate maintains workplace health, safety, and security through a variety of University programs and processes. The Office of Risk Management coordinates annual workplace safety programs for employees and conducts periodic facilities inspections for compliance with health and safety (OSHA) policies. 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 crisis plan is currently under development and training is taking place to educate employees on the procedures for handling a variety of crises on campus including hostage situations, fire, bombs threat, etc. 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, is currently being reviewed for the benefits it can provide for faculty and staff in saving time and money for routine medical services/testing.

**8 What assessment methods and measures do you use to obtain information on faculty and staff well-being, satisfaction, and motivation?**

The institution monitors faculty and staff well being, satisfaction and motivation through a variety of measures. Faculty and staff are asked to participate in a satisfaction survey each year to gauge satisfaction with many of the services, programs and processes on campus. Both 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 and open conversations with the Executive Vice Chancellor.

Participation in the EBI Faculty Satisfaction Survey provides administrators with faculty data segmented by academic area and rank, to include specific comparable information from academic administrators. Utilization of this feedback tool this past year has allowed senior leaders to develop a baseline of faculty satisfaction on a variety of indicators.

The Director of Risk Management and University Police also coordinate efforts to provide a safe and healthy environment for staff, faculty, students, and visitors to campus. Policies and procedures have been developed and will be implemented through training of faculty and staff over the next year.

**9 How do you use faculty and staff satisfaction assessment findings to identify and determine priorities for improvement?**

Data from the annual satisfaction survey that all faculty and staff participate in are shared directly with the departments that are responsible for the programs, processes and services that are rated. This data is also shared with the supervisors and senior leaders responsible for those areas so the information can be used when developing specific departmental tactics for improvement for the next year. Issues that are identified and are considered institutional as opposed to departmental are discussed and established in the annual senior leader retreat as priorities for the upcoming year. Once agreed upon as a priority, responsibility is assigned to the senior leader that will lead an initiative targeting improvement.

**Category 6: Process Management**

**1 How do you determine, and what are (list) your key learning-centered processes that deliver your educational programs, offerings, and student services?**

Key learning-centered processes, as defined by USC Upstate, are any processes that are intended to directly impact/enhance student learning, 1) curriculum design, 2) instructional delivery 3) service learning 4) tutoring, supplemental instruction and learning communities 5) undergraduate research, 6) advising 7) disability services, 8) course scheduling and planning for degree progression, etc.

**2 How do you incorporate input from students, faculty, staff, stakeholders, suppliers, and partners for determining your key learning-centered process requirements?**

Many of the learning centered processes that have been added or revised in the last two years were designed based on best practices within higher education with additional feedback gathered about implementation strategies to best fit the “Upstate” culture. Each of these programs was also created with various assessment points to gather both formative and summative data to support continuous improvement efforts. Other learning centered processes, i.e. curriculum design and instructional delivery, are also designed in a collaborative effort with departmental faculty working with the department chair to develop clear learning objectives and effective teaching and assessment strategies to ensure learning occurs. Faculty developing on-line courses for students that prefer distance learning work closely with a Technology Training Specialist during course development to ensure the technology components are appropriately integrated.

3 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?

As new processes are designed and older processes are re-engineered, the stakeholders involved in or affected by the process are consulted. The intent of the discussion with the stakeholders is to define the expected outcomes – cycle time, cost, process 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. For example, the process for collecting and analyzing end of course evaluations from students is currently under review. The current process is a paper/pencil process that is centrally coordinated, very labor intensive, and not very efficient or effective. This process has been in place for many years and was considered a “best practice” for the process when scantrons were the best technology available and the institution was much smaller. After process examination by a cross-functional task force, a new process will be designed for pilot this fall and will include a more decentralized process, flexible surveys designed with departmental input, and the introduction of new radio wave, handheld technology into the process.

4 What are your key performance measures or indicators used for the control and improvement of your learning-centered processes? How do you ensure these processes are used? How does your day-to-day operation of these processes ensure meeting key performance requirements?

<b>KPIs to Monitor and Improve Learning Centered Processes</b>	
<b>Learning-Centered Process</b>	<b>Key Performance Indicator</b>
Curriculum design	Test grades, end of course grades, student satisfaction, alumni surveys
Instructional delivery	Test grades, end of course grades, student satisfaction, alumni surveys
Service learning	Student satisfaction
Tutoring, supplemental instruction and learning communities	GPA's of participating students
Undergraduate research	# of students participating
Advising	Student satisfaction
Disability services	Student satisfaction and achievement
Course scheduling and degree progression	Student retention and graduation

The formative and summative assessments that are conducted on each of the learning-centered processes provide the necessary data for making any adjustments to improve outcomes and satisfaction. As assessment data is collected, the departments that are primarily responsible for the outcomes work to revise strategies and action plans to continually improve results.

**5 How do you systematically evaluate and improve your learning-centered processes?**

The formative and summative assessments that are conducted on each of the learning-centered processes provide the necessary data for making any adjustments to improve outcomes and satisfaction. As assessment data is collected, the departments that are primarily responsible for the outcomes 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?**

<b>Key Support Processes</b>		
Enrollment Services (admissions, registrar, financial services, financial aid)	Career Services	Tutoring
Library	Advising Center	Orientation
Information Technology	Dining Services	Student Life
Student Development	Residential Life	Health Services
Facilities Management	Building Services	Disability Services

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 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 education related initiatives?**

To ensure adequate budgetary and financial resources are available and determine needs for current and new education 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 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.

**Category 7 – Organizational Performance Results**

1 What are your performance levels and trends for your key measures on student learning, and improvements in student learning? 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.

**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 2,296 and the average SAT of the incoming freshmen class has increased 60 points. During this same period, the incoming freshmen cohort has grown from 616 students with 33% minority representation to 749 students with 37% minority representation.

<b><u>Average SAT of First - Time Freshmen</u></b>				
<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>
954	976	999	1012	1014

**New Freshmen Retention:** USC Upstate is committed to student success and has invested a great deal of resources into analyzing data, benchmarking best practices, developing and implementing plans and strategies and consistently communicating all efforts and progress made towards achieving this objective to faculty, staff and students. First time freshmen retention at USC Upstate has improved slightly from 61.4% retention of the 1997 freshmen cohort to 62.4% retention of the 2004 freshmen cohort with a great deal of variability in between, including a high of 65.7% retention of the 2003 cohort. The average retention rate for USC Upstate peer groups from the 2003 IPEDS data was: Group 1) 63.1% and Group 2) 64.6%.

Because of 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

improving overall graduation rates, decisions have been made to create and implement a variety of student support services, programs and strategies directly targeting freshmen success. Several of the initiatives that have been implemented long enough to capture initial data on include: University 101, supplemental instruction, early intervention program, and learning communities. The data collected on each of these services, programs or strategies are viewed as “lead” indicators for improving student success and the retention of first time freshmen.

**University 101:** The University 101 program was initiated in the fall of 2004 with only eight sections offered. In 2004, 144 students completed University 101. The retention rate of the students that completed University 101 was almost 8% greater than the retention rate of the freshmen cohort though the average SAT was slightly lower, 987. These University 101 completers also boasted a +0.224 higher first semester average GPA (2.763) than the freshman cohort first semester average (2.539). The program is growing rapidly and with 12 sections offered in the fall of 2005 reaching 242 students, the results continue to show success. These 242 University 101 completers also boasted a +0.222 higher first semester average GPA (2.881) than the freshman cohort first semester average (2.659). Additional data analysis showed that these students maintained higher average GPAs throughout their entire freshman year boasting a 2.817 cumulative first year GPA as compared to the freshman cohort first year average of 2.700. Data to show the impact on first to second year retention is not yet available, yet trends indicate that future data analysis will show continued impact of the success of the University 101 program on freshman academic success and retention.

**Supplemental Instruction:** Supplemental Instruction (SI) is an academic assistance program that utilizes peer-assisted study sessions. SI sessions are regularly-scheduled, informal review sessions in which students learn how to integrate course content and study skills while working together. The purpose of SI is to reduce rates of attrition within targeted historically difficult courses and to improve student grades in those courses. SI was initiated in the 2004-05 academic year with seven offerings in historically difficult science courses such as Biology 101 for majors, Anatomy, and Organic Chemistry. In the 2005-06 academic year, there were 13 offerings which were expanded to include additional courses in Chemistry for Nurses, Chemistry 111 for majors, and Psychology Statistics. 2005-06 yearly results show that students attending SI sessions achieved better grades than their non-SI peers (+0.19 in course GPA) as well as showing a reduced attrition (DFW) rate than their peers, 32% as compared to 51% respectively. The 2005-06 SI offerings reached a potential of 953 students whereas only 298 students (31%) utilized the program.

**Early Intervention:** The Early Intervention Program (EIP) was created in the spring of 2004 to address the need to offer academic intervention to students (enrolled in 100 and 200 level courses) who are not performing satisfactorily academically and/or who have garnered excessive absences in a course at mid-semester. The Center for Student Success alerts these students and offers follow-up assistance. Consistently since its inception, the Center boasts an above 80% “avoidance of failure” rate for those students that follow-up with the Center. In the 2005-2006 academic year, EIP reached a total of 1,306 students and the success rates for those students following-up (160 students) averaged 85% (80% fall, 90% spring).

**Learning Communities:** Research shows that students that participate in learning communities achieve higher GPAs, are retained at higher rates, and graduate at higher rates than their peers. Starting in the fall of 2005, a few pilot learning communities were offered to attempt to achieve these goals with a select group of freshmen. Data show that the 62 freshmen that participated in these learning communities earned higher GPAs on average their first semester as compared to the freshman cohort average first semester GPA, 3.019 and 2.659 respectively (+.360). Future ongoing data analysis will show retention and graduation rate trends.

**Professional Examination Pass Rate:** Since Nursing and Education graduates are required to pass professional examinations before they can be employed within their field, professional examination pass rates are an important indicator for student performance within those disciplines. Data from the CHE Report *A Closer Look* indicates the following: USC Upstate pass rates: 2001- 80.8%, 2002- 89.2% and 2003- 89.3% compared to average of SC Teaching Institutions pass rates: 2001-85.4%, 2002-88.5%, and 2003- 89%.

**Graduation Rates:** 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 improved from 34.2% for the 1995 cohort to 39.7% for the 1999 cohort. Comparable data from the 2004 IPEDS data indicates the following data for six year graduation rates: USC Upstate – 41%, Group 1) 37.8% and Group 2) 37.3%.

**Alumni Ratings:** In 2004, an alumni survey was conducted to gather feedback from all 2001-2002 graduates. Of the respondents, 84% indicate they were satisfied or very satisfied with the instruction in their major. Additionally, 76.6% indicated they were satisfied or very satisfied with the instruction in the general education program and 88.3% indicated they were satisfied or very satisfied with the overall academic experience at USC Upstate. Finally, 82% indicated that their education was highly or moderately related to their current position.

**Alumni Competencies:** From their undergraduate educational experience, 80% of respondents indicated that their preparation for oral communication was excellent or good, 74% indicated that their preparation for written communication was excellent or good and 89% indicated that their preparation to understand or interpret written communication was good. Seventy percent indicated that their preparation in the use of technology was excellent or good, 73% indicated that their preparation in problem solving was excellent or good, and 80% indicated that their preparation for dealing with diversity in the workplace was excellent or good.

**Reading and Writing Competencies:** As a component of general education assessment, seniors were asked to participate in assessments for reading and writing in Spring 2006. The results were as follows: 175 students participated in the ACT writing assessment and scored a composite score of 3.4 compared to the national composite score of 3.2 with a standard deviation of 0.6; 217 students participated in the ACT reading assessment and scored 61.5 compared to 62.4 nationally with a standard deviation of 5.3

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.

**Freshmen Evaluation:** In spring 2005, 322 freshmen participated in the Your First College Year survey. This was the first time USC Upstate participated in this study so no trend data is available at this time. Future participation in this study will be once every two years. The data from the study indicated the following about student satisfaction during their first year at USC Upstate as compared to the other four-year public institutions.

Students reporting they were satisfied or very satisfied with the following:	USC Upstate	4 Year Public Institutions
Classroom facilities	70.2	75.7
Computer facilities	86.3	76.6
Library facilities or services	80.0	72.4
Academic Advising	65.7	56.7
Tutoring or other academic assistance	59.0	52.6
Orientation for new students	59.3	59.8
Student health services	69.8	59.4
Recreational facilities	59.4	76.0
Students reporting they agree or strongly agree with the following:	USC Upstate	4 Year Public Institutions
I see myself as a part of the campus community	68.4	76.5
Faculty here are interested in students academic problems	77.5	76.3

**Table 7.2.1**

**Faculty Survey:** In 2004-05, USC Upstate full time faculty were asked to participate in a survey conducted by the Higher Education Research Institute. Of the 130 full-time faculty who participated, 71.9% rated their overall job satisfaction as very satisfactory or satisfactory compared to 75.4% at other four-year public institutions. While faculty rated their satisfaction with many aspects of their jobs very high, satisfaction with salaries ranked very poorly. According to 2004 CHE data on full time professor salaries, USC Upstate ranked seventh out of ten teaching sector institutions in total compensation. The inability to pay competitive wages stems in part from the decrease in state funding during a time of institutional growth. Ratings on other indicators of interest are listed below:

Aspects of job noted as very satisfactory or satisfactory:	USC Upstate	4 Year Public Institutions
Salary/ fringe benefits	24.4	42.8
Visibility for jobs at other institutions	54.1	43.3
Availability of child care	64.3	36.8
Clerical/administrative support	67.2	52.5

**Table 7.2.2**

**Graduates Survey:** A survey was conducted in June 2005 requesting all May graduates to participate in a survey to provide information to faculty, staff and administrators to aid in the assessment of the institutional mission and plan for improvements in the overall quality of programs and services. Of the respondents, 93.7% indicated that they would recommend USC Upstate to others seeking undergraduate education.

Indicate your satisfaction with these various aspects of your undergraduate experience at USC Upstate.	Pct. of respondents indicating very satisfied or satisfied
Major Program of Study	100.00%
Instruction in your major	96.29%
Your general education courses	75.31%
Instruction in your general education courses	76.92%
Your overall academic experience	96.20%
Your overall experience with advising	70.37%
Your overall experience with staff helpfulness/service	81.48%
The amount of individual attention you received from faculty and staff	81.25%
<b>Table 7.2.3</b>	

**Nursing & Education Graduates:** Additional surveys were conducted in 2005 requesting all nursing and education students graduating from May 2000 through 2004 to provide information via a survey to aid in assessment. While the results from the Nursing graduates is markedly different from the results of the Education graduates, the rating that increased most dramatically with Nursing graduates was *No Opinion*.

	Nursing Respondents Pct. Very Satisfied or Satisfied	Education Respondents Pct. Very Satisfied or Satisfied
Library hours	68.18	94.51
Library Holdings (books, journals, etc.)	65.39	92.31
Library computer search capabilities	74.24	97.83
Bookstore hours	77.87	91.31
Bookstore inventory for student to purchase	79.54	91.30
Classroom facilities	69.23	98.91
Computers for student use	68.75	97.78
General helpfulness of Financial Aid Services	58.27	90.70
General helpfulness of Registrar's Office	73.29	94.44
General helpfulness of Career Services	40.47	86.36
Student Activities (clubs, student government, student events, etc.)	33.34	91.86
Health Services (medical, counseling, etc.)	56.59	89.28
<b>Table 7.2.4</b>		

**2001-2002 Alumni Survey for CHE:** In the last survey conducted for CHE with specific questions designated for all South Carolina Universities, USC Upstate ranked second among all South Carolina four year institutions with 58.5% of alumni indicating that their major was *highly related* to their first full-time job after graduation. (MUSC ranked first with 84.4%.) USC Upstate also ranked second among South Carolina four year institutions with 59.6% alumni indicating that their major was *highly related* to their current full-time job. (MUSC ranked first with 76.1%.)

**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.

**Tuition:** In the 1996-1997 academic year, 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.

<b>Tuition &amp; Fees</b>						
	<b>2001-02</b>	<b>2002-03</b>	<b>2003-04</b>	<b>2004-05</b>	<b>2005-06</b>	<b>2006-07</b>
Sector Average	3,819	4,468	5,340	5,994	6,584	7,195
SC Peer 1	4,668	5,600	6,652	7,816	8,756	9,500
SC Peer 2	3,770	4,350	5,190	6,100	6,860	7,500
SC Peer 3	4,096	4,556	5,570	6,170	6,480	7,278
SC Peer 4	3,780	4,858	5,770	6,202	6,668	7,234
USC Upstate	4,058	4,748	5,460	6,060	6,636	7,218
SC Peer 5	3,727	4,067	4,999	5,900	6,522	7,168
SC Peer 6	4,152	4,704	5,400	5,856	6,588	7,148
SC Peer 7	3,738	4,374	5,064	5,622	6,128	6,670
SC Peer 8	3,790	4,340	5,082	5,540	5,984	6,512
SC Peer 9	2,410	3,080	4,208	4,670	5,214	5,724
\$ Below/Above Avg.	239	280	121	66	52	23
% Below/Above Avg.	6.3%	6.3%	2.3%	1.1%	0.8%	0.3%

**Table 7.3.1**

**State Appropriations and Undergraduate Enrollment:** USC Upstate has experienced a large decrease in state appropriations in the last five years; per student dollars have decreased approximately 18%. As demonstrated in the chart below, the state reduction of almost \$500 per student during a time of enrollment growth, approximately 30% head count growth in eight years, significantly impacts the need for revenue growth through increases in tuition.

Academic Year	Tuition & Income		State Appropriations			
	Amount	% of General Funds Income	Undergrad Enrollment by Headcount	State Dollars per Headcount	% of General Funds Income	Amount
FY 1997-1998	\$8,544,747	42.73%	3392	\$3,377	57.27%	\$11,453,712
FY 1998-1999	\$9,281,295	43.68%	3402	\$3,518	56.32%	\$11,968,844
FY 1999-2000	\$10,064,729	44.25%	3492	\$3,631	55.75%	\$12,680,432
FY 2000-2001	\$11,398,871	45.35%	3585	\$3,831	54.65%	\$13,734,942
FY 2001-2002	\$13,628,083	50.79%	3899	\$3,387	49.21%	\$13,205,810
FY 2002-2003	\$17,801,743	60.12%	4249	\$2,779	39.88%	\$11,809,149
FY 2003-2004	\$20,803,635	66.38%	4397	\$2,396	33.62%	\$10,535,981
FY 2004-2005	\$22,489,945	67.61%	4277	\$2,519	32.39%	\$10,775,082
FY 2005-2006	\$24,566,965	66.67%	4409	\$2,786	33.33%	\$12,283,834

**Table 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 academic experience for all students. The additional dollars expended, from \$16,520,008 - 2001 to \$21,660,168 - 2005, have gone primarily to the hiring of new faculty and the addition of academic support initiatives targeting improvements in student success.

Summary of General Operating Fund Expenditures By Program						
Program	2001-02	2002-03	2003-04	2004-05	2005-06	2005-06
Instruction/Academic Support	60.8%	61.7%	60.8%	60.2%	59.5%	21,660,168
Research/Public Service	0.4%	0.3%	0.3%	0.3%	0.5%	183,214
Student Affairs	10.0%	9.3%	9.3%	8.9%	9.6%	3,479,101
Institutional Support	12.0%	11.8%	12.1%	12.8%	13.1%	4,763,004
Facilities Management	12.9%	13.3%	13.8%	14.3%	13.9%	5,044,139
Scholarships	3.9%	3.6%	3.7%	3.5%	3.5%	1,281,032
Total Expenditures	100.0%	100.0%	100.0%	100.0%	100.0%	\$36,410,659

**Table 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. Due to high enrollment and the low levels of space available, USC Upstate operates with the lowest level of educational and general space per student FTE among the Teaching Universities. This problem has become increasingly difficult to manage as enrollment has continued to grow. Scheduling adjustments, use of off-campus

delivery sites and other strategies are being used to accommodate for the enrollment demand and the limited space.

USC Upstate 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.

<b>Comparison of Classroom Utilization, E &amp; G Space and CIB Funding SC Teaching Universities</b>					
Institution	CIB Funding	CIB Funding per FTE	E & G Sq Ft	E & G Space per FTE	Classroom Utilization (Avg Weekly Hrs)
Peer 1	85,672,000	8,669	1,356,978	137	25.79
Peer 2	55,445,525	18,293	761,703	251	15.25
Peer 3	52,562,250	9,666	1,360,312	250	26.87
Peer 4	51,142,500	12,282	937,070	225	18.81
Peer 5	50,904,579	20,974	608,091	251	21.56
Peer 6	42,309,500	6,434	821,435	125	23.60
Peer 7	38,567,000	14,565	509,739	192	34.25
Peer 8	37,308,950	11,234	657,550	198	16.35
<b>USC Upstate</b>	<b>29,671,500</b>	<b>7,435</b>	<b>476,635</b>	<b>119</b>	<b>30.58</b>
Peer 9	9,077,600	9,910	206,134	225	16.13
Total	452,661,404	10,677	7,695,647	182	

**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.

<b>USC Upstate Grants History</b>						
Year	DOLLARS			NUMBERS		Indirect Generated
	Awards	Expenditures	Submissions	Awards	Submissions	
2001	\$ 1,943,815	\$ 1,930,576	\$ 1,904,244	47	32	\$ 62,172
2002	\$ 1,954,222	\$ 1,716,885	\$ 2,730,489	70	40	\$ 15,338
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 figures are still tentative and will not be finalized until fall

Indirect funds have decreased because of change in USC policy that allows USC Upstate to keep in-directs only from grants under \$200,000 (except research grants) and Achieve, Upward Bound and Opportunity Network are all budgeted above that level now.

**Table 7.3.5**

**Auxiliary Services:** Auxiliaries services revenues are an important component of the financials at USC Upstate. As a result of lack of capital from the state and the delay in bond bill, USC Upstate has bonded revenue from auxiliary services to build a new academic building, the Health Education Complex, which has just broken ground.

Auxiliaries (Bookstore, Food Services, & Residential Housing)			
Years	Revenue	Expenditures	
2000-01	3,072,917	2,353,227	
2001-02	3,372,623	2,747,535	
2002-03	3,781,097	3,054,088	
2003-04	4,307,481	3,013,548	
2004-05	4,022,301	2,725,781	
2005-06	4,081,588	2,983,283	

**Table 7.3.6**

4 What are your performance levels and trends for your key measures on work system performance, faculty and staff learning and development, and faculty and staff well-being, satisfaction, and dissatisfaction?

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:** The faculty, staff and administrator survey was initiated in 2004 to establish a baseline for satisfaction on a variety of issues. This survey will be conducted again in 2007 to begin tracking trend data on several of the key indicators.

2004 Faculty/Staff/Administrator Survey	% that Agree or Strongly Agree		
	Faculty	Staff	Admin.
<b>Overall Satisfaction</b>			
I am proud to work for USC Upstate	82.76	83.68	96.97
I am very satisfied with my job	75.86	73.47	87.88
I enjoy working at USC Upstate	80.46	80.61	90.91
<b>Engagement</b>			
I feel free to express my opinions without worrying about negative consequences	63.22	60.21	81.81
My supervisor/dean or chair encourages me to make suggestions	79.31	80.61	87.87
My supervisor/dean or chair listens to my suggestions	82.76	81.63	87.87

**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.

<b>Training &amp; Professional Development Seminars</b>			
	<b>2003-2004</b>	<b>2004-2005</b>	<b>2005-2006</b>
Administrative	174	267	149
Computer	26	8	31
OSHA	82	111	62
Personal Development	83	35	73
Professional Training	130	302	78
<b>Information Technology Services Training</b>			
Computer	322	150	150
Smart Classroom Technology	60	50	100
On-line Course Development	15	24	12

**Table 7.4.2**

**Faculty Survey:** In 2004-05, USC Upstate full time faculty were asked to participate in a faculty survey conducted by the Higher Education Research Institute. Of the 130 full-time faculty who participated, 71.9% of USC Upstate faculty rated their overall job satisfaction as very satisfactory or satisfactory compared to 75.4% at other four-year public institutions. Ratings on other indicators of interest are listed below:

<b>Aspects of job noted as very satisfactory or satisfactory:</b>	<b>USC Upstate</b>	<b>4 Year Public Institutions</b>
Salary/ fringe benefits	24.4	42.8
Visibility for jobs at other institutions	54.1	43.3
Availability of child care	64.3	36.8
Clerical/administrative support	67.2	52.5

**Table 7.4.3**

**Minority Faculty:** USC Upstate strives to cultivate a faculty that is balanced in both ethnicity and gender. The chart below demonstrates an on-going commitment to ethnic diversity among faculty demonstrated through USC Upstate ranking second among South Carolina teaching institutions in the percent of faculty who are minority. USC Upstate also has greater than fifty percent of full time faculty that are female.

<b>Percentage of Teaching Faculty who are Minority</b>										
<b>Year</b>	<b>Peer 1</b>	<b>Peer 2</b>	<b>Peer 3</b>	<b>Peer 4</b>	<b>Peer 5</b>	<b>Peer 6</b>	<b>Peer 7</b>	<b>Peer 8</b>	<b>USC Upstate</b>	<b>Peer 9</b>
2002	7.9%	4.8%	7.4%	6.4%	10.5%	76.3%	10.9%	6.4%	12.8%	9.9%
2003	8.2%	6.4%	8.3%	5.9%	9.9%	72.0%	11.3%	7.9%	10.2%	9.9%
2004	6.4%	6.6%	9.1%	5.5%	8.4%	69.0%	11.2%	11.3%	12.2%	10.1%

**Table 7.4.4**

**Faculty Credentials:** In Fall 2004, USC Upstate ranked 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 for USC Upstate in the past, it is becoming increasingly difficult to replace retiring faculty with faculty that have appropriate credentials. This concern is exacerbated by the tight budget constraints within the state of South Carolina and the planned retirement of faculty in disciplines with national shortages of qualified faculty, e.g. Nursing, Accounting, Math, and Spanish.

<b>Academic and Other Credentials of Professors and Instructors</b>										
	Peer 1	Peer 2	Peer 3	Peer 4	Peer 5	Peer 6	Peer 7	Peer 8	USC Upstate	Peer 9
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%

**Table 7.4.5**

**Work Related Injuries and Illnesses:** USC Upstate has experienced a slight increase in the number of reported work related injury cases from 2003 through 2005. However, during that same time there has been a significant decrease 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.

<b>Work Related Injuries and Illnesses</b>			
	<b>2003</b>	<b>2004</b>	<b>2005</b>
Total number of cases with days away from work	2	5	5
Total number of cases with job transfer or restriction	0	0	1
Total Number of other recordable cases	5	3	0
Total number of days away from work	183	254	15
Total number of days of job transfer or restriction	0	0	41
<b>Total number of:</b>			
Injuries	6	8	6
Skin disorders	0	0	0
Respiratory conditions	0	0	0
Poisonings	0	0	0
Hearing loss	0	0	0
All other illnesses	1	0	0

**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. As noted, the majority of incidents and inquiries for which the EEO Office is contacted are not EEO issues and are referred to the supervisor or the Office of Human Resources.

EEO Complaints									
	2003-04			2004-05			2005-06		
	Formal	Informal	Incidents/ Inquiry	Formal	Informal	Incidents/ Inquiry	Formal	Informal	Incidents/ Inquiry
<b>TOTAL</b>	<b>1</b>	<b>3</b>	<b>12</b>	<b>0</b>	<b>2</b>	<b>9</b>	<b>2</b>	<b>0</b>	<b>14</b>

**Table 7.4.7**

Incidents/Inquiries are situations in which the EEO Office was contacted and the employee was referred to their supervisor or HR because the nature of the incident was not within the purview of the EEO Office.

**Crime Statistics Trends:** Crime statistics on the USC Upstate campus have trended down in the past year. To improve campus security, additional cameras have been added for monitoring activities on campus and other new initiatives are being planned for 2006 to continue improvements in safety and security.

Offenses			
Type of Offense	2003	2004	2005
Murder	0	0	0
Manslaughter	0	0	0
Rape	1	1	0
Robbery	0	0	0
Hate Crimes	0	0	0
Aggravated Assault	1	0	1
Burglary	1	0	0
Motor Vehicle Theft	0	0	0
Arson	0	0	0
<b>Total</b>	<b>3</b>	<b>1</b>	<b>1</b>
Other Sexual Offenses			
Forcible	0	0	0
Non-Forcible	0	0	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>
Other Arrests			
Arrest for Violations	2003	2004	2005
Liquor Laws	4	4	1
Drug Laws	9	25	3
Weapon Laws	1	2	1
<b>Total</b>	<b>14</b>	<b>31</b>	<b>5</b>

**Table 7.4.8**

5 What are your performance levels and trends for your key measures of organizational effectiveness/operational efficiency, learning-centered and support process 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. The 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. Beginning fall 2006, USC Upstate has also been selected and will participate in the Foundations of Excellence program, a comprehensive, guided self-study and improvement process that enhances an institution's ability to realize its goals for student learning, success, and persistence.

Freshmen to Sophomore Retention					
	2000	2001	2002	2003	2004
First Year Retention	65.0%	68.4%	63.3%	65.7%	60.1%

**Table 7.5.1**

**Six Year Graduation Rates:** USC Upstate has improved the six-year graduation rate in the past few years. The student success team was implemented two years ago and has established specific plans and initiatives targeting improved retention of students leading to graduation.

Graduation Rate, 150% of Program Time									
	Peer 1	Peer 2	Peer 3	Peer 4	Peer 5	Peer 6	Peer 7	USC Upstate	Peer 8
<b>2002</b>	65.5%	35.2%	53.9%	39.8%	47.6%	50.9%	36.2%	36.1%	55.0%
<b>2003</b>	71.4%	36.6%	55.2%	38.1%	45.7%	48.6%	44.6%	34.9%	54.8%
<b>2004</b>	65.7%	39.8%	57.3%	42.0%	42.9%	52.8%	40.0%	41.3%	56.1%

**Table 7.5.2**

\*\* USC Beaufort is not included

**Ratio FTE Student/FTE Faculty:** Students identify small class sections and their access to faculty as a very positive attribute of USC Upstate. Approximately 80% of class sections reviewed over the past two years have had fewer than 30 students enrolled in them.

Ratio FTE Student/ FTE Faculty					
	Fall 2005	Fall 2004	Fall 2003	Fall 2002	Fall 2001
SC Peer 1	14.35	14.93	15.23	15.12	15.64
SC Peer 2	18.46	18.81	18.79	19.05	19.06
SC Peer 3	15.48	15.92	15.98	16.35	16.61
SC Peer 4	15.49	16.05	15.95	15.84	15.04
SC Peer 5	16.36	16.59	16.05	16.85	17.01
SC Peer 6	16.69	16.01	15.95	15.31	14.83
SC Peer 7	14.63	15.14	14.45	14.93	14.60
SC Peer 8	12.83	13.17	12.77	14.62	N/A
USC Upstate	14.78	14.59	15.15	15.56	16.21
SC Peer 9	14.08	14.89	15.27	15.39	15.36

**Table 7.5.3**

**Smart Classrooms:** Information Technology Services is working with Academic Affairs to create a plan for improving teaching technology in all classrooms. Note in the chart below that great progress was made in 2005.

Classrooms Upgraded to Smart Classrooms			
2003	2004	2005	2006
7	8	27	4
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

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.

b) Stakeholder trust in senior leaders is demonstrated regularly in a variety of ways: accreditation of the institution and several academic programs, 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 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 through the following awards:

- Hearts & Hands – Presented by the Board of Commissioners of the SC School for the Deaf and the Blind – for demonstrating generosity and compassion to the students and for supporting improvement in facilities and programs of the SCSDB – 5/25/04.
- Appreciation for helping “increase the organized capacity of people to care for one another” - United Way of the Piedmont Board of Directors, 1995-1997
- Dr. John C. Stockwell – in appreciation of outstanding service as President, Peachbelt Athletic Conference – 1999-2000
- John Stockwell - 2002 – Spartanburg Humanitarian – 10/10/02
- USC Upstate Founders’ Day Distinguished Service Award, April 27, 2002
- South Carolina on the Move – presented to Dr. John Stockwell by Jim DeMint
- 1999-2000 – John Stockwell, Chairman – Spartanburg Urban League
- ACE/OWHE – The Network Leadership Award
- USCS Honors Program – Excellence in Honors Teaching – 2003-2004 – Presented to John Stockwell in recognition of your commitment to academic excellence.

c) As a state agency, the USC System is audited annually. 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. Responsibility for safety is defined for each unit's specific situations. The Office of Risk Management, along with the USC Office of Health and Safety, coordinates this work with the 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 and issues are managed with situations addressed appropriately.