Evidence Name: Annual Management Letters

- x  Do we have it?  Annual Management Letters are received each year as part of the Annual Independent Audit.  The letter outlines the auditor's review of the University's internal control environment and identifies areas of improvement in the internal control system.  Specific areas for improvement are classified into three categories of deficiencies: material weakness, the most serious deficiency, where there is a reasonable possibility that a material misstatement of the financial statements will not be prevented, or detected and corrected, on a timely basis; significant deficiency, a deficiency that is less severe than a material weakness, yet important enough to merit attention by those charged with governance; and a deficiency, the least severe of the three types of deficiencies, and can include control objectives that are either missing or are not properly designed to meet the control objective.  The Annual Management Letters for each fiscal year are maintained by the Finance Office of the University

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

Standard: VI-1, VI8 and ROA 8, 9, and 10

Evidence Name: Assessment Handbook

- x Do we have it? The Assessment Handbook (most recent from Fall 2019) is available through the Office of Institutional Effectiveness and is available in the Assessment and Accreditation section (under the Academics tab) on the University's
- x Do we use it? The Assessment Coordinator, working with Department Chairs, uses the Handbook as a guideline for the specifics of assessment planning and reporting. Assessment is intended to help departments not only engage in critical self-reflection about whether its program m polices are producing explicated student learning outcomes, but also to determine if and how the department's curriculum and policies advance the mission, vision, and core values of Mercyhurst University
- x Does it work? The Assessment Handbook clearly states objectives for the units within the The Acy5.801 Tc -0.002 (ssm)2 (- (ut)guir [(Ac)2na)-1 (nd)5 (raho)-1 (w)aisiTar thro(nd)5 (raho)-12 (e)-1 (par)[(T)3 (he)-1 n sepoes eadvahon eoruthe unitsprexrutn the .p(T*.1
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on the procedures of budget entry and reallocations to more accurately reflect the actual expenditures.

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

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

x Do we have it?

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

Standard: VI-9 and ROA 5

Evidence Name: Continuing Disclosure of Bond Compliance

- x Do we have it?  The University's bond issues outline disclosures that are required to be made to remain in compliance with the legal documents and covenants that comprise the bond documents. These requirements are outlined in a Continuing Disclosure Agreement (the Agreement) for each bond issue. The purpose of the Agreement is to keep the bondholders apprised of the University finances and other key information and operational data through an Annual Filing, as well as to notify bondholders of specific events impacting the bonds, such as bond rating changes. The content of the Annual Filing is unique to each bond issue and must be filed with the Municipal Securities Rulemaking Board (MSB) through its Electronic Municipal Market Access (EMMA) system by October 30 of each year to remain in compliance with the bond documents as well as various rules promulgated by the Securities and Exchange Commission (SEC). In addition to posting these filings on EMMA, copies of all filings are maintained by the Finance Office of the University and shared with key constituents as required by the applicable Agreement.
- x Do we use it?  The Annual Filing contains the Audited Financial Statements, along with an Appendix of historical data on the University history, governance, accreditation, principal officers, facilities, academic programs, enrollment, applications and acceptances, student quality, student housing, student fees, and competition. The data contained in the Annual Filing are often used to complete annual surveys and other compliance requirements.
- x Does it work? The Annual Filing provides an assessment of the effectiveness of the University's planning, resource allocation and availability of resources at the institutional level.

Standard: VI-2 and ROA 9

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

Standard: VI-9 and ROA 5
Evidence Name: FISAP
- x Do we have it? The FISAP report is an annual report required by the Department of Education for schools that currently participate in Campus Based Aid programs. The FISAP is housed in both Student Financial Services and the Finance Department.
- x Do we use it? The FISAP is used for reporting the previous year's expenditures and requesting funding for the upcoming year in the Campus Based Aid programs.
- x Does it work? Completing the FISAP assures the continued funding of the Campus Based Aid Programs such as FSEOG and the Federal Work Study. These programs and this funding are critical in providing needed aid to deserving students that qualify.

Standard: VI-3, VI-4, and ROA 10
Evidence Name: Freshman Course Preference Survey
- x Do we have it? This is a standard survey sent to incoming freshmen.
- x Do we use it? The survey solicits information for desired courses in the freshman's first semester. The questions seek guidance on what classes are of interest for the students to ensure their first experience on campus meets their needs and expectations.
- x Does it work? The students respond to the survey and courses are selected during the summer by University staff. This helps provide data to help fulfill students' educational objectives as well as provide information about where further instructional resources might be needed.

Standard: VI-9 and ROA 10
Evidence Name: Fundraising Reports
- x Do we have it? Fundraising reports are produced by University Advancement and are provided to the Board of Trustees Committee on Advancement. Reports are available via University Advancement.
- x Do we use it? Fundraising reports allow for a year to year comparison of performance by the University's Advancement Department. The strengths/weaknesses of this performance should be considered when allocating the Advancement Department's annual budget.
- x Does it work? Advancement receives periodic budgetary adjustments based upon performance needs such as operational and staffing resources.

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

- x Do we have it? Yes,

- x Do we use it? Yes, the Hurst Responders Instagram page
  ([https://www.instagram.com/hurstresponders](https://www.instagram.com/hurstresponders)) documents, via photos, all the numerous volunteer projects completed by Hurst Responders, both on our campus and in the Erie community.
- x Does it work? The Hurst Responders program has contributed to the completion of many volunteer projects that directly improve our campus and surrounding community.

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

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

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

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

Standard: VI-5 and ROA 10

Evidence Name: Information Technology Policies and Procedures

- x  Do we have it?  Information Technology Policies and Procedures are available as a section of the Employee Handbook (Section 1.7, pages 8) as well as posted on the IT Services HubSite https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_ITServices/SitePages/ITPolicies.aspx  They are also publicized for students as well on the Student Hub, so they are also aware of the IT Services available and the guidelines for use of various IT resources https://lakersmercyhurst.sharepoint.com/sites/SPO_STU_ITServices/SitePages/ITPolicies.aspx
- x  Do we use it?  The Information Technology Policies and Procedures guide the use of University computer equipment, networks, email accounts, as well as assists to support class instruction and campus events and student activities.
- x  Does it work? The Information Technology Policies and Procedures are carried out by the Information Department and cover the topics of acceptable use, security, and privacy. They also outline procedures for monitoring IT resources and levels of protection of University systems and access through Authentication Management. Having these IT policies in place is critical in that so many aspects of employee and faculty responsibilities involve the use of technology and the sharing of information on different levels and various channels.

Standard: VI-3, VI-4, and ROA 11

Evidence Name

x

10

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

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

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

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

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

regarding the ticket request. Once it has been resolved, notification that the ticket is

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

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

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

x   Do we have it? The Multi Factor Authentication Setup Instructions and FAQ are available on the IT Services Hub page.

x   Do we use it? All employees and students must utilize MFA, which requires more than one method of authentication when logging in to their University accounts.

x   Does it work? MFA is a two-step verification process that presents a significant challenge to anyone attempting a cyber-attack. It prevents others from logging in under your credentials and provides high security for all proprietary and personal information housed in the University databases.

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

x   Do we have it? Material about Mercyhurst's Mission, Vision, and Core Values is found in a dedicated section on the University's Hub. Information explicating the mission, and those staff dedicated to certain non-academic elements of its fulfillment, are available to the Mercyhurst community. Further the "Mission Accountability Self-Study and Peer Review" document is also found in this Hub location.

x   Do we use it? Per the mission self-study: "Adopted in 2006, Mercyhurst University's vision, mission and Core Values have proven to be very effective engines for the institution. Throughout various meetings and discussions related to this study, it has been pointed out repeatedly that the Mission Statement and Core Values speak well to the University as it stands today, but that the Vision Statement does not speak so directly to the current strategic initiatives of the University. It will be helpful to revisit that Vision Statement in the coming years."

x  Does it work? Again, per the mission self-study: "As Mercyhurst University continues to reflect on the information gathered in this self-study and considering the University's ongoing strategic planning and approaching centennial, many areas for growth and renewed emphasis emerge. These areas of continuing action and reflection will be organized once again around the [Conference for Mercy Higher Education's] Mission Core Areas. Each goal/initiative is accompanied by a priority level and a target timeframe." The goals/initiatives to use mission, vision, and core values in future planning are: Curricular Development and Integration, Hiring, Orientation and Onboarding, Ongoing Formation for Mission, Space, Art and Symbolism, Worship and Reflection, Engagement in Community and Celebrations, Sponsorship, CMHE and Ecclesial P 0.001  and C4Ea52ufnsvF6oMHg rganize(h)5 (e)-1 ( inf)1 (o)-1 (r)-1 (m)2.1 (at)1 (i)5

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

Standard: VI-3, VI-4, VI-9 and ROA 11
Evidence Name: Personnel Action Form
- x Do we have it?  The Personnel Action form (PAF) is a key form used to generate employee and budgetary changes on many different levels. It is available on the HR Department Hub site at https://lakersmercyhurst.sharepoint.com/sites/SPO_EMP_HumanResources/Lists/Employment%20Documents/AllItems.aspx and available to be sent electronically by a Human Resources staff member when requested. A Student Personnel Action form was also created to streamline and keep separate the hiring of student positions.
- x Do we use it?  The Personnel Action Form is used for various requests and changes such as hiring new employees, stipend requests, salary changes, employee change in status, updates to budgets where employees are charged, as well as employee termination notifications. It is the form that triggers employment actions and system updates for employee position and status changes.
- x Does it work? The Personnel Action Form is typically completed by a department supervisor or Vice President. A weekly budget review of Personnel Action Forms is done. Any PAFs are submitted to Human Resources by 12:00 noon on Tuesdays and sent to a Finance member of the Budget Team. The PAFs are reviewed based on the budget numbers and allocations as well as totals and if they are budgeted, they are approved. Further review and approval by Vice Presidents or Provost is the next level of approval. New employee requests and updates to salaries or changes to positions are also sent to the President for final approval. Once Human Resources receives the approvals back, they are processed accordingly. If it is regarding the hiring of a new employee or a salary or position change of a current employee, an appointment letter is generated and again sent to the President for signature. Regarding student hiring, the level of approval typically stops at the Vice Presidents as they manage their student budgets.

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

Standard: VI-2, VI-5 and ROA 12
Evidence Name: Provost Council Meeting Minutes
- x  Do we have it?  The minutes of the Provost Council's meeting are not public. We assume that these documents are kept by the Provost's office and are accessible by the Council.
- x  Do we use it?  We assume that the minutes probably serve as a collective memory of the Council's work as members work together to make macro-level decisions enabling multiple units to function together to serve the educational mission to our students.
- x  Does it work? Given the non-public nature of the minutes assessing the effectiveness of this particular record keeping is challenging. The Provost, and Council members, should be able to determine if the data found therein is consulted to plan and make data driven decisions for the future

Standard: VI-9 and ROA 11
Evidence Name: S&P Bond Rating Reports
- x  Do we have it?

16

Standard: VI-1 and ROA 5

Evidence Name: Satisfactory Academic Progress Policies and Procedures (from Catalog)

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

Standard: VI-2 and ROA 12

Evidence Name: Staff Senate Meeting Minutes

- x Do we have it? M