

**BOARD OF TRUSTEES
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BACKGROUND MATERIALS
Tuesday, June 4, 2013

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| 1. Strategic Plan Matrix
This matrix details the ongoing initiatives from the four cornerstones of the Strategic Plan. | Tab 1 |
| 2. Audits Timeline Matrix
This matrix tracks the progress of the implementation of recommendations for improvement or correction made by internal and external auditors. | Tab 2 |
| 3. Accounting Year-End Implementation Timeline
This timeline is to reflect the process for key year-end activities of the audit process. | Tab 3 |
| 4. Audit Subcommittee Charter and Internal Audit Charter
This is provided as a regular part of the agenda. | Tab 4 |

STRATEGIC PLAN MATRIX

Legend: Critical Delay

Behind But Manageable

On Schedule

Completed

Status Has Been Revised

Cornerstone	Start Date	Est. Date of Completion	Summary of Initiative	Current Status	Status
Student Success	2011-2012	Ongoing	Enrollment Management Team to examine and revise admission/retention requirements. Leader: Jack Fahey	<i>A small Strategic Leadership Team (consisting of three Deans and the VPSA) meets twice monthly to improve and coordinate the University's enrollment efforts as well as steer our future direction. In addition, a large Crash Day Committee planned and implemented five very successful CRASH DAYS (including an online one) and is expanding to an overnight event in June. Initiatives are in process to streamline Graduate Admission processing. The Board of Trustees has authorized a search for an Associate Vice-President for Enrollment Planning and Management to lead the University's recruitment efforts.</i>	
Student Success	2011-2012		Develop Freshman-Year experience. Leader: Shearle Furnish	<i>A set of recommendations has been forwarded. Among recommendations on which the committee has reached consensus and that will be forwarded are these:</i> <ul style="list-style-type: none"> • <i>The six undergraduate colleges should implement a one-to-three-hour freshman seminar suggested by the model being piloted now in the Bitonte College of Health and Human Services.</i> • <i>YSU should expand the implementation of learning or living/learning communities beyond the successful current instances.</i> • <i>YSU should improve and enhance outreach and communications with first-year students.</i> • <i>Deans should consider training and appointing faculty mentors.</i> • <i>The university should train resource allies among the student body, faculty, and staff.</i> • <i>The university should implement a virtual and physical "Ask the Penguin" informational service.</i> • <i>YSU should re-invent Freshman Convocation as a Welcome Week event for first-year students.</i> 	
Student Success	2011-2012		Improve course completion rates. Leader: Ikram Khawaja	<i>Building upon the Spring 2012 semester pilot trial of "Starfish," a more expanded implementation was introduced in the Summer semester. During Summer semester, faculty who taught freshman level courses had access to use the Starfish software (150 classes). During Fall semester, there were 1,006 freshman classes that had access to Starfish. All YSU undergraduate classes were targeted for Spring 2013 semester. Approximately 42% of faculty participated in the program. Initial indicators show that full faculty participation could create a 5% increase in student retention. Faculty training sessions are continuously being offered. Long-term goals of Starfish include: increase faculty participation from 5% to 40%, to increase fall-to-fall first-year retention rates from 69% to 73%, to increase graduation rates from 34% to 43%, and to increase minority graduation rates from 12% to 20%.</i>	
Student Success	2011-2012	Ongoing	Support faculty development in teaching and learning. Leader: Cary Wecht	<i>The Faculty Development Committee supports faculty in all aspects of their career trajectories: orientation, mentoring, preparation toward tenure and promotion, awards and grants, scholarship and creative activities, best practices in teaching and learning and associated technologies, achieving job satisfaction, and life/work balance. The faculty development webpage hosts the activities schedule and helpful links and resources.</i> <u>Activities to Date, 2012-2013:</u> August <i>Milton Cox: Learning Communities and Assessment (support role)</i> <i>Conducted survey on faculty development needs and interests</i> September <i>Mentoring at YSU: Connecting Across Campus</i> <i>32 new faculty members were paired with faculty mentors</i> <i>Mentors have received materials to orient them to purpose and best practices</i> <i>Development of mentoring pairs is ongoing</i>	

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Student Success	2011-2012	Ongoing	Support faculty development in teaching and learning. Leader: Cary Wecht	<p><i>(Continued from page 1)</i></p> <p>October Workshop: Dealing with At Risk Students and Challenging Behaviors</p> <p>November 2 Engagement Summit (support role)</p> <p>14 Workshop: Start NOW: Tips for Yearly Evaluation and Tenure & Promotion</p> <p>January 9 Half-Day Workshop: Design Your Online Course!</p> <p>February 8 Half-Day Workshop: Design Your Online Course!</p> <p>March 3 Workshop: Brush-Up on Research Statistics: What's a Chi Square, Again?</p> <p>April 5 Workshop: Best Practices in Teaching Online Courses</p> <p>April Workshop: Breathe New Life into Your Courses Over the Summer: Developing Stunning Students: How to Add Mastery and Meaning to Every Class</p> <p>May 2012-2013 Redux: New Faculty and Mentors</p>	
Student Success	2011-2012	Ongoing	Align advising systems. Leader: William Buckler	<p>Listed are activities that are being undertaken by the Office of Academic Advising and the college academic advisors.</p> <ul style="list-style-type: none"> • Develop a Faculty Advising Syllabus. • Review/revise current Academic Advising Syllabus. • Develop guidelines and commonalities for the six college advising websites and review/revise the University's general advising website. • Explore development of a student academic advising portfolio and concise student advising brochure. • Develop a single website on which all current University curriculum sheets are to be posted. • Develop a strategy to foster needed resources and University commitment to develop an online advising manual for faculty and college advisors. • Develop academic advising learning outcomes for the next several years. • More clearly define the meaning of the "Align Systems of Advising" initiative and establish a place of action to support it. • Establish advising guidelines to support College in High School Program. • Monitor and evaluate implementation and effectiveness of new conditional admission policy. • Begin a discussion to strategize development of college-based transition programs between Eastern Gateway Community College and majors within the six colleges. 	
Student Success	2012-2013		Raise more money for scholarships. Leader: Jack Fahey	<p>As a first step, the YSU Foundation was asked to consider increasing its disbursement to the University in FY13. The Foundation agreed to do so. The funds were awarded to graduate students for fall. In addition, the Foundation has agreed to provide 1.7M in additional funds next year for scholarships. The next step is to work with the Foundation to facilitate awarding of more scholarships in students' initial scholarship packages. This impetus will enhance our ability to recruit deserving students.</p>	
Student Success	2012-2013		Develop a major marketing campaign to position YSU as a University of choice (e.g., YSU Success Stories). Recruit underrepresented students, the best students, and students outside the immediate area. Leader: Mark Van Tilburg	<p>Our marketing in Western PA continues to be very successful. In the last 24 months, we ran 5,300 commercials and 632,940 online ad impressions and leapfrogged ahead of Akron in market position. We have increased our local marketing. In the last 24 months, we ran 11,750 commercials and 280,000 online ad impressions. We've increased our Facebook presence by more than 800% and quadrupled our Twitter followers. We've released 19,867 student success stories to more than 1,000 different media outlets. Our Alumni Magazine continues to excel and has quintupled the online traffic to its editions. Additionally, we have enhanced our marketing of graduate students. In September the Board of Trustees approved the extension of Western PA advantage pricing to the entire service area. We have visited all of the high schools in the newly included area. We created a Provost's Scholarship to attract excellent students who live outside of OH and our RSA.</p>	

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Student Success	2012-2013		Streamline academic experiences—e.g., 3-year degrees, credit for prior learning. Leader:		
Student Success	2012-2013		Increase internship, cooperative-education, service-learning, and study-abroad opportunities. Leader: Betty Jo Licata	<i>Task forces will develop recommendations for expanding (1) internship and cooperative education and study abroad. Activities are underway to develop policies and procedures for various study abroad experiences that will support increased student and faculty participation. The existing Engagement Team and the Center for Nonprofit Leadership will continue to promote and expand recognition of service learning opportunities. The STEM College and the Williamson College of Business Administration received a \$575,000 grant from the Ohio Board of Regents to expand and accelerate internship placements in advanced manufacturing and related industries. This grant will fund stipends, scholarships, and new course development.</i>	
Student Success	2012-2013		Offer flexibly scheduled, alternative delivery, and distance-education courses and programs. Leader: Millie Rodriguez	<p><i>Each component represents a 10% need for the completion of the initiative. * represents ongoing initiatives beyond the review period.</i></p> <ol style="list-style-type: none"> <i>1. Build an interest in Distance Education programs to produce an increase in available programs for new applicants and enrollees interested in YSU. 8%*</i> <i>2. Assist in the development of a DE application individual to state-side graduate, undergraduate, and international students who plan to stay in their country of origin. 7%</i> <i>3. Develop a tuition plan that will serve to maximize the revenues of out of region distance education students. This will help to guide the market dollar spending. 10%</i> <i>4. Participate and advise in a variety of venues such as distance education meetings, online market planning, online recruitment planning, and process committees. 6%*</i> <i>5. Create the Office of Distance Education to serve as a full-life cycle venue for online program students. 6%</i> <i>6. Provide a professional training hub to support all faculty in Distance Education at Youngstown State University. 6%*</i> <i>7. Advise the faculty, deans, Provost, President, and State body on a full array of service-level issues surrounding the students involved in online/web-based education. 7%*</i> <i>8. Develop a website and specific training for the Distance Education Office at Youngstown State University. 8%*</i> <i>9. Research technology and assist in the acquisition of key technology needed for the successful outreach, tracking, and efficiencies needed to successfully meet goals and service online students. 7%*</i> <i>10. Collect Distance Education prospective, applicant, and student data to evaluate and make recommended future changes where necessary to increase enrollment. 0%*</i> 	
Urban Research	2011-2012	Ongoing	Provide technical support for grant writing and statistical analysis. Leader: Ed Orona	<i>Discussions have been initiated with the Chair of the YSU Department of Mathematics and Statistics to identify ways to provide statistical expertise to principal investigators who need significant data analysis for either grant submission and/or publication of results. Support can be provided by either faculty or graduate students in the Department. Incentives for faculty participation in these activities (such as reassigned time or supplemental compensation) were evaluated. These incentives could be incorporated into new grant applications and submissions for a variety of proposed projects.</i>	
Urban Research	2011-2012	Ongoing	Expand undergraduate research opportunities. Leader: Jeff Coldren	<i>Over the past three years of Quest, student participation has increased approximately 27% from 2012, and approximately 46% from 2011. The number of students receiving undergraduate research grants has increased 37%, and the total amount of funding distributed for those grants has increased 70%. Since 2011, six grant proposals have been submitted by faculty to federal grant agencies (e.g., NSF) that include undergraduate research as a significant component. To facilitate communication and publicize undergraduate research announcements,</i>	

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Urban Research	2011-2012	Ongoing	Expand undergraduate research opportunities. Leader: Jeff Coldren	<i>(Continued from page 3)</i> the use of social networking (i.e., Twitter) has been implemented. Items that are underway include identifying faculty members within each department willing to serve as contacts for students seeking research opportunities and developing a web page to disseminate information about undergraduate research.	
Urban Research	2011-2012	Ongoing	Create opportunities for interdisciplinary collaboration. Leader: Bryan DePoy		
Urban Research	2011-2012	Ongoing	Provide training for grant management and development. Leader: Ed Orona	<p>The Office of Grants and Sponsored Programs (OGSP)—which is responsible for assisting YSU faculty and staff in submitting grant proposals for external funding, and for accepting grant awards for research, service, and academic development—is providing and/or sponsoring the following grant support and training. These activities also apply to benchmarking best practices in grant management.</p> <p>(a) Grant Workshops: The OSGP director has continued a series of presentations (FY11, FY12) on grant development for new and experienced faculty and staff; workshops on focused and specialized topics are being scheduled; and presentations to department chairs and deans were also delivered. Fall workshops FY13 to new faculty have been completed. The CITI training (see below) has other “modules” available for online workshops on a variety of grant issues.</p> <p>(b) RCR Training: Responsible Conduct of Research YSU is implementing processes to provide training and oversight on the responsible conduct of research (RCR) or ethics to YSU faculty and staff. The RCR training is required and mandated by sponsors, such as the National Science Foundation and other agencies. Equally important is the mentoring and training of undergraduates, graduate students, and postdoctoral researchers supported by agencies such as the NSF.</p> <p>OGSP is assisting in review of policies and best practices in the choice of an RCR training program. Commercially available software - CITI (Collaborative Institutional Training Initiative) Training Program, for faculty and staff to be certified, has been purchased. This CITI program is used by a host of other universities and will be rolled out for YSU use in the fall semester 2013. Its use is being implemented in its initial stages for RCR training by the IRB, which provides oversight on research involving human subject participants (below).</p> <p>(c) OGSP Oversight of Other Mandated <u>Compliance and Training</u> (Human and Animal Research): YSU must adhere to federal and state laws (compliance regulations) which require individual certifications on the responsible use of human and animal subjects in research.</p> <p>The Committee at YSU designated to provide oversight on research involving <u>animals</u> is the IACUC (Institutional Animal Care and Use Committee). Compliance under federally-supported research is under the domain of the USDA and OLAW. The USDA is the federal agency which promulgates and enforces the animal welfare regulations, inspects research animal facilities, and enforces the Animal Welfare Regulations (AWR). OLAW (Office of Laboratory Animal Welfare) is the office at the National Institutes of Health (NIH) which has responsibility for general administration and coordination of the PHS Policy on Humane Care and Use of Laboratory Animals.</p> <p>YSU has had a long-standing arrangement with NEOMED for assistance. A consortium comprised of YSU, NEOMED, Summa Health Systems, Kent State University, the University of Akron, and the Akron General Medical Center is involved. A consortial "protocol" has been used for institutions to process and approve research on animal subjects; the current system of practice is being updated starting in 2012 with Dr. Walter Horne (at NEOMED), who serves as the YSU veterinarian of record. Training presentations are provided at YSU for faculty and staff on an as-needed basis. Dr. Horne at NEOMED offers these sessions upon request.</p> <p><u>Human subjects'</u> research projects, when proposed, are reviewed and approved (as "protocols") by the YSU Institutional Review Board (IRB). The Full Committee of the IRB meets monthly to approve projects involving vulnerable populations, such as children and prisoners. In addition the IRB Chair reviews a hundred expedited protocols annually, which do not go to the full committee.</p>	

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Urban Research	2011-2012	Ongoing	Provide training for grant management and development. Leader: Ed Orona	<i>(Continued from page 4)</i> To date, and since 2010, OGSP has provided oversight and required YSU personnel to receive training on conducting research on human subjects. All YSU faculty, students, and staff who are involved with Human Subjects research were required to complete training and be certified. On-line training was provided by the module at the NIH Office of Extramural Research, (module-Protecting Human Research Participants). At least 100 individuals have sent their Certifications to the secretary of the IRB. The IRB will be using the new CITI training modules to assist with the online training and the new certifications.	
Urban Research	2011-2012	Ongoing	Add/implement selected graduate programs. Leader: Bryan DePoy	The Master of Arts in Gerontology has received full approval by RACGS and is open to receive new students. Four of our master's degrees are currently pending RACGS approval to be offered 100% online this fall (2013): Master of Respiratory Care, Master of Criminal Justice, Master of Engineering Management, and the Master of Business Administration. A revised Program Development Proposal was submitted to RACGS in late April, 2013, and is currently in the comment period for state institutions.	
Urban Research	2011-2012		Develop marketing and recruitment strategies for graduate students and selected undergraduates. Leader: Jack Fahey	See Student Success Initiative "Develop a major marketing campaign..." In addition, Admissions has attended approximately 25 Graduate Fairs throughout the fall, and Marketing is developing print and web materials designed to enhance marketing and recruitment. Admissions, Registration, and Information Technology have implemented the Banner Document Scanning Module (BDSM) which will streamline the admissions process by enabling digital sharing of all student records.	
Urban Research	2011-2012	Ongoing	Advance Centers of Excellence to prominence. Leader: Ikram Khawaja	<p>The following progress has been made in advancing Centers of Excellence to prominence:</p> <p><u>Center of Excellence in International Business</u></p> <p>State Recognition Ohio Chancellor Jim Petro named YSU's Center of Excellence in International Business an Ohio Center of Excellence on 11/3/11.</p> <p>Global Learning Experiences</p> <ul style="list-style-type: none"> Sixteen students and three faculty members participated in the Global Entrepreneurship GLA to Dublin Ireland March 9-17. The group attended lectures at Trinity College and visited several businesses and entrepreneurial companies such as Facebook, the Bank of Ireland, and the Industrial Development Agency. The London Learning Experience is a four-week residential experience. Students live in London, participate in academic coursework, and complete team projects for London-based businesses. <p>Business Community Outreach The Small Business Development Center, under the leadership of Ms. Patricia Veisz, was awarded a \$60,000 grant to establish an <u>International Trade Assistance Center (ITAC)</u> to assist businesses in starting or expanding international trade activities. The grant, part of President Obama's National Export Initiative, funds programming and an international trade assistance advisor to work with companies to initiate or expand international trade activity. Mousa Kassis was named ITAC Adviser. Student teams are involved in conducting international trade projects for businesses in our region. A new course, Exporting, has been established and will be offered each semester. Students will develop exporting plans for regional businesses. In addition, international trade internships are being established with regional businesses.</p> <p>The Emerging Markets Initiative Funded by a grant from the US Department of Education, supported the India Study Tour during the 2013 winter break. Seven students and two faculty members visited businesses in Delhi, Agra, Mumbai, and Hyderabad. Dr. Mohan Eunni, EMI director, is also providing leadership for the fourth International Business course to be offered as a part of the YSU Summer Honors Institute. The EMI also hosted Ms.</p>	






Cornerstone	Start Date	Est. Date of Completion	Summary of Initiative	Current Status	Status
Urban Research	2011-2012	Ongoing	Advance Centers of Excellence to prominence. Leader: Ikram Khawaja	<p>(Continued from page 5) <i>Elise Lasko (Honduras and microfinancing) and Dr. Ilan Alon (Globalization and Internationalization of Emerging Market Multinationals).</i></p> <p>Academic Programs</p> <ul style="list-style-type: none"> • WCBA has created a major in International Business; it is being offered as an ICP. • New courses have been developed in Emerging Economies, Exporting, and Global Marketing Communications. • The MBA-level Global Business course has been completely revised and has incorporated engagement with the business community. • Several faculty members have published journal articles and/or books in international business. <p>Faculty Research and Accomplishments</p> <ul style="list-style-type: none"> • Dr. Bruce Keillor, Chairperson, Department of Marketing and Director of the Williamson Center for International Business, published <i>Understanding the Global Market: Navigating the International Business Environment (Praeger).</i> <p>Plans for 2013-2014 Include:</p> <ol style="list-style-type: none"> 1. Aggressively build the BSBA in International Business. 2. Expand course offerings in International Business. 3. Expand projects for regional businesses. 3. Offer international study tour to India. 4. Expand Global Learning Experiences at undergraduate and graduate levels. 5. Expand YSU's academic presence outside of the U.S. market. 6. Increase the opportunities for YSU students to interact with students from other universities. 7. Expand student-business interactions through student projects and internships. 8. Increase integration of Ohio Small Business Development Center and International Trade Assistance Center with WCBA activities. 9. Seek external grants to support new international business initiatives. 10. Provide grants to support faculty research and instructional development. 11. Explore Global Executive in Residence program. 12. Continue to implement activities of Emerging Markets Initiative. <p>Center for Autistic Studies</p> <p>1. Development of Community of Practice (CoP; Wenger, 1998) for Autism Research – Faculty and researchers from YSU and other higher education institutions in Northeast Ohio met in April 2013 to share research interests and to discuss a research agenda for the Center for Excellence and the process for engaging in collaborative cross-discipline research including the development of grant proposals to pursue external funding. The CoP currently consists of twenty researchers with fifteen members representing YSU.</p> <p>2. Extramural Funding and Support for Autism Scholarship – At least four members of the CoP have submitted autism related grant proposals in response to solicitations from government agencies and private organizations. Dr. Darlene Unger (BCOE) received funding (\$15,000 for two years) to implement and evaluate a post-secondary education program for students with autism at YSU. The Adaptive Learning System for Students with Autism, a collaborative proposal between faculty from YSU, DePaul University and the Rich Center for Autism, was a finalist for the EdTech Challenge Grant through Turning Technologies Foundation. Dr. Susan Giuffre (BCHHS) is working with three doctoral students in physical therapy to investigate the health benefits of hippotherapy such as trunk strength, balance and social engagement of students diagnosed with autism. The study began in April and is supported by a \$5,000 grant from YSU.</p> <p>3. Scholarship - Several faculty (8 from YSU, 2 external) and YSU students (7) representing academic programs across the Beeghly College of Education, the Bitonte College of Health and Human Services, and the College of Liberal Arts and Social Sciences are currently engaged in research involving children or parents affiliated with the Rich Center for Autism. During the 2012-2013 academic year, YSU faculty have authored or co-authored five publications in referred journals and presented at 11 state, national, or international conferences.</p>	

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Urban Research	2011-2012	Ongoing	Advance Centers of Excellence to prominence. Leader: Ikram Khawaja	<p>(Continued from page 6)</p> <p><u>The YSU Center for Applied Chemical Biology</u> <i>The Center continues to promote student education and academic collaborations with other institutions. Regarding education, we anticipate that at least eight graduate students will receive their M.S. degrees, whereas nearly a dozen undergraduates working in the Center will also receive bachelor degrees. These graduates are moving onto careers in industry or furthering their education in doctoral programs like those at Texas A&M University. Moreover, collaborations with national and international universities are ongoing, including hosting Dr. Andrew Greene of Ashland University (Ohio) for his sabbatical year. Finally, the Center will begin an outreach program this summer by employing high schools students from local STEM-related schools to work as research assistants.</i> <i>The Center is also pursuing joint ventures with St. Elizabeth Hospital, Rust Belt Brewery (Youngstown), CelVida, LLC (Boardman), NewTech (Salem), and Nanologix (Hubbard). Recently, Dr. Carl Johnston completed a contractual study with BioRemedial Technologies of Hermitage, Pennsylvania. Several of these ventures involve the participation of the YSU Research Foundation.</i> <i>Finally, Dr. Gary Walker and colleagues within the STEM College are making substantial progress in their federally funded project focused on biofuel production. This project involves the training of a number of graduate and graduate students.</i></p> <p><u>Centers of Excellence in Materials Science and Engineering</u> <i>Based on reported activities of ten CEMSE-affiliated faculty/research staff, CEMSE activities over the past year include:</i></p> <ul style="list-style-type: none"> • <i>Over 50 papers were published or accepted for publication in refereed journals</i> • <i>At least 7 grants were awarded to CEMSE-affiliated faculty and staff this past year with total award amount of about \$840,000. Awards were granted by NSF, the U.S Dept. of Energy, the Petroleum Research Fund, Wright Patterson Air Force Base, and the DoT-CTME</i> • <i>Over 40 external conference presentations were given by CEMSE-affiliated faculty, staff, and students this past year</i> • <i>Five MS students completed their thesis work in a Materials Science/Engineering area and graduated from YSU this past year</i> 	
Urban Research	2012-2013		Re-engineer processes to reduce time, paperwork, and divisional barriers to research and scholarly activity. Leader: Rachael Pohle-Krauza	<p><i>A final report summarizing the Subcommittee's finding and recommendations for "best practices" has been completed. It was presented to Provost Khawaja and Dr. Elias on 4/30/13. The Subcommittee's work on this initiative is now complete. The report may be accessed in full at https://www.dropbox.com/sh/iv3b77cd1v24o08/fPdip55G3m?n=91528472</i></p>	
Urban Research	2012-2013		Publicize research outcomes. Leader: Betty Jo Licata	<p><i>The team consists of Betty Jo Licata (WCBA), Ron Cole (Marketing & Communications), Tim Francisco (English), Howard Mettee (Chemistry), Patrick Bateman (Management), Ying Wang (Marketing), Ganesaratnam Balendiran (Chemistry), Darlene Unger (Education), Rachael Pohle-Krauza (Human Ecology), and Ewelina Boczkowska (Music). The primary task is to recommend steps to be taken to proactively promote the quality and impact of the scholarship/research being done at YSU. The team will build upon the recommendations of the Senate Research Committee and the "Best Practices in Research" team (see above) in developing a marketing and communications strategy that increases the visibility of YSU in the regional, national, and international arenas, promotes the outcomes and impact of faculty scholarship, and positions our faculty as experts with the national media.</i></p>	
Urban Research	2012-2013		Benchmark and apply best practices in grant management. Leader: Theresa Orwell	<p><i>The Grants Initiative Team includes Theresa Orwell, Ed Orona, Scott Martin, Pat Durrell, Tim Wagner, and Dean Parsons. Our Best Practices Survey had 75 respondents, and the team has met once to discuss the results. We plan to summarize the results and make recommendations on improving the grants process.</i></p>	

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Accountability and Sustainability	2011-2012		Identify and implement a new approach to University budgeting that includes cost-benefit analysis. Leader: Neal McNally	<i>The Budget Development Council (BDC) has devised the rules and procedures for distributing salaries and associated fringe benefits to units, has devised the rules and procedures for fiscal-year carry-forward and is working on a modification of the fringe benefit calculations. In addition, the BDC has recommended that the University, through its divisions, make plans to respond to several different scenarios for FY 14 revenue realities that support our strategic directions, promote sustainable expenditures and demonstrate long-term commitment to the success of the University.</i>	
Accountability and Sustainability	2011-2012		Align budget priorities with strategic priorities. Leader: Neal McNally	<i>As a part of the new Modified Initiative-based Budgeting model implementation, divisions are being asked to work through several planning scenarios for the coming fiscal year (FY 14) that support our strategic directions, promote sustainable expenditures and demonstrate long-term commitment to the success of the University.</i>	
Accountability and Sustainability	2011-2012		Create a central database to support all initiatives. Leader: Eugene Grilli	<i>The extract views associated with the data warehouse proof of concept have been formally established enabling the transformation of Banner transactional data into a structure appropriate to the Business Intelligence process. Project scope has been expanded to include financial aid and admissions data. Discussions with representatives from the financial services and student areas have resulted in the definition of appropriate point-in-time data freezes intended to facilitate comparative data analysis across multiple terms. The definition of Business Intelligence needs specific to Institutional Research, in their fulfillment of state reporting requirements, is in its initial phase. Tools allowing for the creation of active dashboards are currently being evaluated against University data for possible implementation.</i>	
Accountability and Sustainability	2011-2012		Systematically review, simplify, and automate business practices. Leader: Paul Kobulnicky	<i>Work on improving our travel procedures has advanced. We have made an agreement with Traveline to utilize their on-line booking tool (Concur) for flight, hotel and car rentals. The benefits of use of Concur are: the ability to book trips on-line 24/7 similar to Travelocity, Orbitz or Expedia with comparable costs; the ability to define individuals (travel planners, departmental staff) who can book travel on behalf of others; the direct payment of airline tickets and car rental by the University rather than through post travel reimbursement, the provision of emailed itineraries; smart phone capabilities; notification of potential out of compliance issues while booking travel; automatic supervisor notification via emails when flight or hotel costs are out of compliance with guidelines and the ability to tailor and run reports related to total travel. Beginning July 1, 2013, the University will automate its vendor payment processes. These changes will continue the University's move from paper to electronic processing, creating operating efficiencies while enhancing the University's budget management and reporting capabilities. Highlights of benefits and processing changes include: All Independent Contractor Agreements will be processed and encumbered in eCUBE. Standard payment terms for ALL vendors will be net 30, including Independent Contractors. In addition to punch outs and non-catalog, staff can now use forms for specific purposes such as standing orders, prepayments and As Per Invoices (APIs). Receiving can be done at user's desk top as well as in Central Receiving. E-invoicing by select vendors will be implemented, eliminating mail processing, paper, need for inputting by AP, delays, and lost paperwork. Staples and Office Max will now be processed through E-invoicing rather than P-cards, making posting of transactions more timely and eliminating these transactions from the P-card monthly workflow reconciliations. All P2P transactions (requisitions, purchase orders, receivers, invoices and payment information), including approval workflow, will be viewable in eCUBE. Electronic workflow and approval of receivers and invoices in eCUBE against FY14 purchase orders and new eCUBE forms will be enabled.</i>	
Accountability and Sustainability	2011-2012		Explore and implement shared services as needed. Leader: Paul Kobulnicky	<i>YSU continues to be an active participant in the Ohio Board of Regents (OBOR) Efficiency Advisory Committee. At these meetings we affirmed all of the good work on state-wide shared services, mostly in the areas of procurement, that have been led by the IUC. We will continue to direct a lot of the work of the OBOR Committee through the IUC. YSU and Kent State University officials met during December to identify areas of potential for shared services. We will focus on purchasing and travel and look for ways to create a virtual shared organization since nearly all of the functions of these two processes are on-line.</i>	

Cornerstone	Start Date	Est. Date of Completion	Summary of Initiative	Current Status	Status
Accountability and Sustainability	2011-2012		Establish a culture of customer service. Leaders: Jack Fahey and Paul Kobulnicky	<i>The division of Finance and Administration tested it's Customer Service survey instrument with focus groups and is in the process of refining it for campus implementation.</i>	
Accountability and Sustainability	2011-2012		Establish effective communication systems. Leaders: Joe Mosca and Paul Kobulnicky	<i>Efforts to communicate advances in YSU's new budget process continue and are effective. Meetings have been held with President's Cabinet, Dean's Council, Departmental Chairs, the Executive and Administrative Staff Council and the staff meetings of the Vice Presidents. Feedback from these meetings has informed the development of the new budget process. Similarly, meetings have been taking place with those staff and offices involved in the creation and eventual use of the new Data warehouse. Training has served as an effective vehicle for communications about new travel and procurement processes. Finally, several of the speeches of the President and Vice Presidents have not only focused on the developments of the strategic plan but have also been sent out digitally to the campus community.</i>	
Accountability and Sustainability	2012-2013		Update and implement the Technology Master Plan on an ongoing basis. Leader: Ken Schindler	Analysis of the current state of educational and administrative technology at YSU has begun.	
Accountability and Sustainability	2012-2013		Form an IT steering committee to align IT priorities with strategic priorities. Leader: Ken Schindler	Duplication between two committees has been resolved. ITS will begin to work with the Information Technology Advisory Committee (ITAC) once the Fall semester is in session. The ITAC has met twice and created a sub-committee to evaluate and recommend which system should be YSU's long term Learning Management System.	
Regional Engagement	2011-2012	Ongoing	Develop strong relationships with regional economic development agencies. Leader: Ron Chordas	<ul style="list-style-type: none"> • YSU and PRISM/MAGNET (Partnership for Regional Innovation Services to Manufacturers/Manufacturing and Advocacy Growth Network) have signed (April 2013) a MOU to join a consortium of Northeast Ohio universities to offer logistical, research, and advocacy support for small and medium sized companies to work on new products and technologies. • YSU and its STEM College are active partners in the Youngstown Ohio Utica and Natural Gas (YOUNG) Conference and Expo. One outcome has been the establishment of the Natural Gas and Water Institute (NGWI) within YSU's STEM College. The NGWI, in cooperation with YSURF, is nearing completion of an agreement to form a consortium agreement with local and regional industries interested in water resource research. • YSU was the recipient of funding from the Ohio Board of Regents for our Program for Internships and Coops in Advanced Manufacturing and Related Industries (PICAM) which, together with employer matching funds, resulted in total overall funding of nearly \$1.3 million. • In 2012, Youngstown was announced as the location of the first National Advanced Manufacturing Initiative, the \$30 million National Additive Manufacturing Innovation Institute (NAMII), funded by the U.S. Departments of Defense, Energy, and Labor. 	
Regional Engagement	2011-2012	Ongoing	Offer diverse arts and cultural programming to broaden audience demographics. Leader: Bryan DePoy	<ul style="list-style-type: none"> • Over the past year, arts and culture programming alone brought 33,067 individuals onto campus. • The YSU College of Fine and Performing Arts and the College of Liberal Arts and Social Sciences are actively engaged with the Community Diversity Programming. • The Department of Theater and Dance is in the very early stages of a youth theater project titled, "Penguin Playhouse" which is a theater initiative designed to focus on a younger demographic. Recent performances of Hansel & Gretel and Cinderella have been tremendously successful at attracting a younger demographic. 	

Cornerstone	Start Date	Est. Date of Completion	Summary of Initiative	Current Status	Status
Regional Engagement	2011-2012	Ongoing	Offer diverse arts and cultural programming to broaden audience demographics. Leader: Bryan DePoy	(Continued from page 9) <ul style="list-style-type: none"> A partnership in cultural programming has been established at the Jewish Community Center to include a theater camp for youth serving citizens on the north side of Youngstown and the community at large. A professional minority actor was recently featured in a University Theater production of "Broke-ology." As a strategic initiative, in upcoming seasons, the Department of Theater and Dance will devote one of their season's programming spots toward programming to support audience diversification. We have already acquired an underwriter for the 2013-2014 year to support this endeavor. 	
Regional Engagement	2011-2012	2014	Establish policies to reduce barriers to partnerships. Leader: Task Force to be identified by Chet Cooper and Bryan DePoy	<ul style="list-style-type: none"> Through YSURF, a STEM College testing service has been developed to encourage industrial-academic partnerships. This service is beginning to attract the attention of local businesses desiring partnerships with YSU. WYSU has initiated numerous community partnerships in a high profile manner. These include partnerships with both for profit and non-profit entities to provide more programming services to the region as well as collaborations with The Vindicator and The Business Journal to add local news programming. 	
Regional Engagement	2011-2012	Ongoing	Increase coordination/communication among academic units related to economic development and community engagement. Leader: Ron Chordas	<ul style="list-style-type: none"> Within the Williamson College of Business Administration (WCBA), the Monus Entrepreneurship Center is collaborating with the Gerontology Program (Bitonte College of Health and Human Services; HHS) to plan a regional conference that will include a student entrepreneurship competition focusing on new business ideas for the senior market. The Small Business Development Center (WCBA) continuously utilizes the skills of faculty members across campus to address business-related needs and planning. New graduate courses have been developed by the WCBA. One is an elective course in Entrepreneurship, Technology and Innovation for MBA students, as well as those in the College of STEM. The Engagement Task Force recently sponsored a Faculty Summit on Engagement in Kilcawley Center for YSU faculty and staff that focused on global engagement activities; best practices in setting objectives, evaluation of outcomes, and assessment for student internship placements; and development of service learning courses and activities. The College of Fine and Performing Arts has been directly involved (Dean serves as co-chair) in a transformation regional arts advocacy initiative (Power of the Arts). To this date, the initiative has commissioned the first economic impact study for Arts and culture in the region. In addition, the College is partnering with the organization to offer a quarterly professional development series for the community titled, "Arts Mean Business." 	
Regional Engagement	2011-2012	Ongoing	Improve communication between community outreach units and academic departments. Leader: Ron Chordas	<ul style="list-style-type: none"> The College of FPA is partnering with the Metro College to establish a Corporate Communication Training Center (funded, in part, by an Ohio Hub of Innovation and Opportunity grant) to offer communication skills training sessions to regional industry on a fee-based basis. The center will begin operating in fall 2013. Meetings were conducted with the Chairs of CLASS and Bitonte College regarding opportunities for student engagement relating to community projects. These meetings will continue as needed throughout the academic year as opportunities arise. The Beeghly College of Education submitted the Promise Neighborhoods Grant, a collaborative effort between Beeghly College, Bitonte, CLASS, and the Center for Urban and Regional Studies. They have also worked to obtain commitments from multiple social service organizations providing services on the east side of Youngstown. The Executive Director of the Center for Urban and Regional Studies, along with the MRCI coordinator, serve on the board of directors of the Northeast Ohio Sustainable Communities Consortium, a twelve county consortium. This initiative is funded by a \$4.3 million grant from HUD. The grant's goals include creating a resilient Northeast Ohio, connecting our communities, restoring and protecting the natural resources. It is based upon a competitive framework for the economic vitality of the region. 	

Cornerstone	Start Date	Est. Date of Completion	Summary of Initiative	Current Status	Status
Regional Engagement	2012-2013		Identify and secure sources of external funding to support student athletes and enhance their competitiveness. Leader: Ron Strollo	<ul style="list-style-type: none"> • The Department of Athletics has entered into an agreement with IMG, a national leader in sports marketing and promotions, to provide an analysis of our corporate marketing efforts. • The Athletic Department continues to explore other revenue opportunities, notably with fundraising. A recent \$500,000 gift was received from Farmers National Bank for the new Soccer Complex west of Fifth Avenue. • Additional potential donors are being consulted to fund a portion of construction for the new softball field on the west side of campus. • A 5% increase in external funding was secured over the past year (January 2012-January 2013). 	
Legend: Critical Delay  Behind But Manageable  On Schedule  Completed  Status Has Been Revised 					

5/9/2013

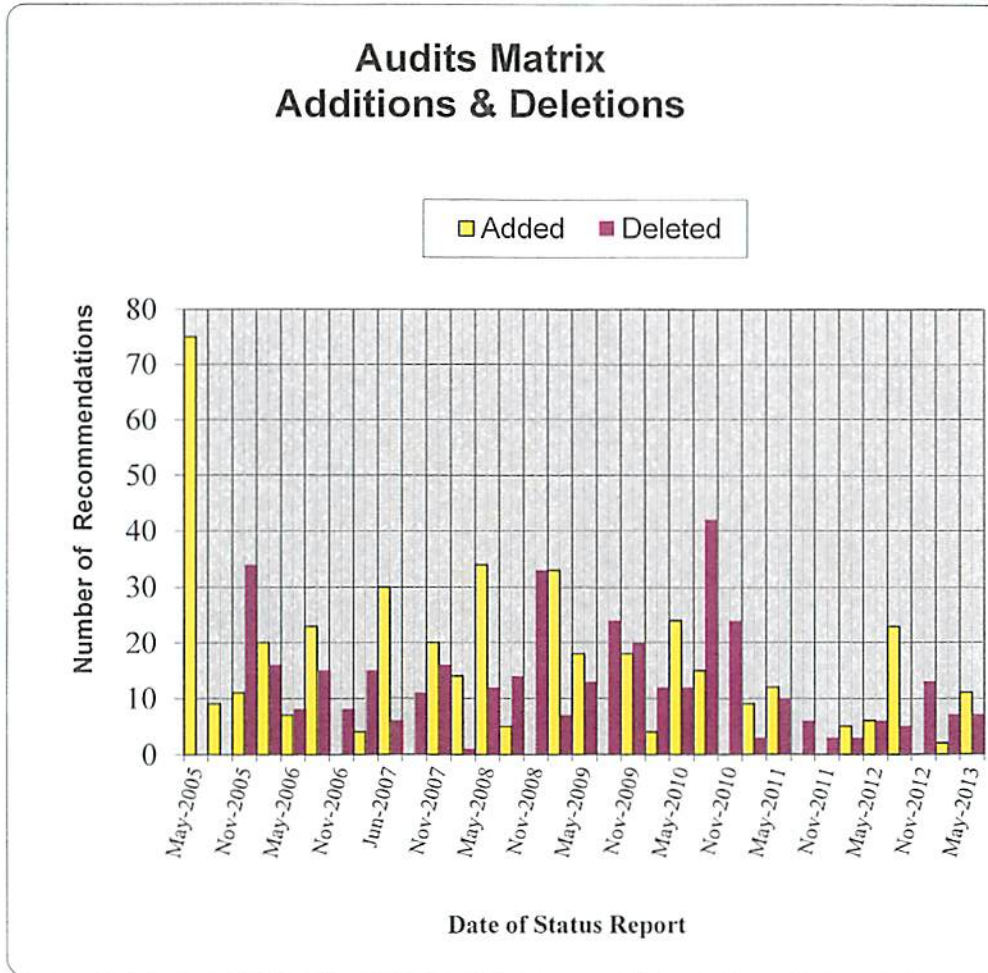
STRATEGIC PLAN MATRIX
YSU 2020 COMPLETED INITIATIVES

Cornerstone	Start Date	Date of Completion	Summary of Initiative	Current Status
Student Success	2011-2012		Improve orientation processes and programs. Leader: Jonelle Beatrice	<i>Committee work is complete for now. The committee recommended more faculty involvement and finding ways to make the experience more personal and interactive. The SOAR program has been changed to incorporate these recommendations. We will monitor the success of these changes through this year's program. Evaluations indicate that the changes made are having the intended effect.</i>
Student Success	2011-2012		Tighten and improve enforcement of academic progress. Leader: Jonelle Beatrice	On May 2, 2012 Academic Senate passed a new conditional admission policy which raises the standard for regular admission and creates a very structured program (based on best practices research) for students who are admitted conditionally. The program should provide a set of expectations (such as regular meetings with staff, regular class attendance) and a safety net that helps serious students to be more successful. The program should increase student retention. Approximately 2/3 of these at risk students succeeded during Fall semester (which is a surprisingly high percentage).
Student Success	2011-2012		Create early-warning processes to improve student success. Leader: Jeanne Herman	The committee is in the process of implementing the "Early Alert" product of Starfish. The system is designed to capture all at-risk behaviors of students. It also allows the University to track all campus resources for intervention and retention. Early Alert will permit faculty members to easily identify students who are not progressing in class, refer that information to designated campus services, and then receive up-to-date information regarding the referral. The spring 2012 pilot test was very successful. This summer 2012 all 1500 level courses will use Starfish. In the fall the program will expand to ALL freshman level classes. A formal training session was held for academic advisors on March 29, and demonstrations of the product were held for the EASC, the University Diversity Council and Academic Senate. Faculty training sessions and online resources are being developed and will be presented to faculty during summer and fall 2012. All parties that review the software react positively both to the concept and to this particular software. We anticipate that implementation will immediately improve retention. Initial indicators appear to show increases in freshman gpa and course completion.
Urban Research	2011-2012		Develop a comprehensive startup packages policy. Leader: Peter Kasvinsky	Revised policy/procedures complete and reviewed by Deans. To be posted on the School of Graduate Studies and Research website.
Urban Research	2011-2012		Examine admission standards and policies for graduate students. Leader: Jack Fahey	Committee work is complete – see "Graduate School Best Practices" document. The University has elected to implement a transition of graduate admissions processing to undergraduate admissions. The goals of this change are to modernize and improve processing, improve customer service and increase graduate enrollment. Significant changes have been made and are continuing to be made.
Regional Engagement	2011-2012		Develop a task group for nonviolent behavior and community safety. Leaders: Tammy King and Yulanda McCarty-Harris	<i>A task force to examine violent behavior and community safety was created in Spring 2012. The task force, referred to as the Community Safety Committee, promulgated two successful initiatives: 1) a new YSU Workplace Violence Policy (in collaboration with the Domestic Violence Committee) and 2) the Community Safety Summit. The YSU Board of Trustees approved the Workplace Violence Policy (#7001.04) on December 14, 2012. The Community Safety Summit, sponsored by the Bitonte College of Health and Human Services, was held on November 10, 2012. More than 100 persons attended and partook in the opportunity to engage with other individuals and organizations to address the myriad of issues pertaining to community safety.</i>

5/9/2013

**Audits Timeline Matrix
Cumulative Statistics
As of May 3, 2013**

<u>Status as of:</u>	<u>Added</u>	<u>Deleted</u>	<u>Open</u>
May 13, 2005	75	0	75
September 9, 2005	9	0	84
November 10, 2005	11	34	61
February 10, 2006	20	16	65
May 19, 2006	7	8	64
August 25, 2006	23	15	72
November 13, 2006	0	8	64
February 9, 2007	4	15	53
June 6, 2007	30	6	77
August 31, 2007	0	11	66
November 8, 2007	20	16	70
February 11, 2008	14	1	83
May 16, 2008	34	12	105
August 15, 2008	5	14	96
November 14, 2008	0	33	63
February 6, 2009	33	7	89
May 12, 2009	18	13	94
August 19, 2009	0	24	70
November 6, 2009	18	20	68
February 10, 2010	4	12	60
May 12, 2010	24	12	72
August 20, 2010	15	42	45
November 8, 2010	0	24	21
January 28, 2011	9	3	27
May 6, 2011	12	10	29
August 12, 2011	0	6	23
November 4, 2011	0	3	20
January 27, 2012	5	3	22
May 4, 2012	6	6	22
August 10, 2012	23	5	40
November 2, 2012	0	13	27
January 25, 2013	2	7	22
May 3, 2013	11	7	26
Totals	<u>432</u>	<u>406</u>	<u>26</u>



Audits Timeline Matrix Summary
As of May 3, 2013

The 26 recommendations at May 3, 2013 are from 3 external auditor management letters and 7 Packer Thomas (PT) internal audits. This compares to 22 recommendations at January 25, 2013.

Audit Name	Number of Recommendations									
	Total		Critical		Behind		On Schedule		Complete	
	1/25/2013	5/3/2013	1/25/2013	5/3/2013	1/25/2013	5/3/2013	1/25/2013	5/3/2013	1/25/2013	5/3/2013
E&Y FY2007 Management Letter	1	1			0	0	1	1	0	0
Crowe FY2011 Management Letter	1	1			0	0	1	1	0	0
Crowe FY2012 Management Letter	2	1			0	0	1	1	1	0
PT Accounts Payable (Jan 2013)	0	6			0	0	0	6	0	0
PT Facilities Department (Jan 2012)	4	1			0	0	1	1	3	0
PT Human Resources (Feb 2012)	11	9			1	3	8	5	2	1
PT IT Governance (Nov 2009)	1	1			0	0	1	1	0	0
PT HR/Payroll (June 2005)	1	0			0	0	0	0	1	0
PT Payroll (Aug 2009)	1	1			0	0	1	1	0	0
PT Pollock Estate Project Construction Project Monitoring (Jan 2013)	0	1			0	0	0	1	0	0
PT SAUR (Nov 2012)	0	4			0	0	0	0	0	4
Totals	22	26	0	0	1	3	14	18	7	5





Audits Timeline Matrix

7 deleted, 11 added









Legend: Critical delay Behind but manageable On schedule Completed (will be deleted from next report)

Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT SAUR (Nov 2012)		When it is determined that a student withdrew from a class, SAUR should notify Financial Aid so that they can prepare and send exit counseling materials to the students with 30 days. Better communication between SAUR and Financial Aid is recommended to ensure this issue is resolved.	SAUR will work with Financial Aid and Registration to develop procedures to identify students who withdraw from the University, who may or may not owe a balance to the University, but who have received loans while attending YSU. This will ensure that student will be sent the appropriate documentation as required by the DOE.			Procedure is in place to insert a letter from Financial Aid in the last bill that goes to borrower.
PT SAUR (Nov 2012)		SAUR should develop procedures to properly monitor reissued checks so that either the check is processed or the money is returned to the DOE within 240 days of when the first check was issued.	Management will develop a computer generated report similar to the one used for first-reissued checks. This will enable improved tracking for second-reissued checks.			Procedure is in place to manually monitor.
PT SAUR (Nov 2012)		The FCAB should keep an all-inclusive list of students who requested an FCAB appeal and also have the result of the appeal noted in the list. Without a complete list, the FACB will not have the ability to formally approve all of the credits issued.	An official list will be maintained and reviewed frequently by the Director for accuracy. This list will also be used in the Director's review of credits.			An official list is maintained in the Managers shared drive and reviewed monthly by the Director of Student Accounts and University Receivables.

Audits Timeline Matrix

Legend:  Critical delay  Behind but manageable  On schedule  Completed (will be deleted from next report)						
Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT SAUR (Nov 2012)		We recommend the FACB meet at least once each term, as required by YSU's policies and procedures.	Management's interpretation of the current documented procedures suggest that the FCAB shall meet only when necessary, i.e. when an appeals decision is needed. Existing procedures will be updated to clarify this intent.			The FACB procedure was reviewed and adjusted to reflect the FACB committee will meet only when necessary. A copy of the revised policy is on file in the SAUR office and saved in the Managers shared drive.
PT Human Resources (Feb 2012)	03/31/13	Human Resources should develop a procedure to inform the Benefits department of new hires or rehired retirees. Proper forms should then be completed so that retirement systems are timely notified of these hires.	The problem is limited to those employees paid on Occasional Service payment and faculty who are on Extended Teaching Service (ETS). New procedures and training are being developed for supervisors who regularly use Occasional Service employees. The Manager, Employment will develop a process to ensure that the appropriate pension system documentation is obtained at the time the Extended Teaching Service (ETS) contract is issued.			Procedures are in place to address the ETS faculty and Occasional Service employees. The Manager, Employment meets individually with faculty who have been approved for ETS.











Audits Timeline Matrix

Legend:  Critical delay  Behind but manageable  On schedule  Completed (will be deleted from next report)						
Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT Human Resources (Feb 2012)	03/31/13	The list of positions included in the bargaining unit agreement should be updated while ratifying the APAS bargaining unit agreement during 2012. When a new position is added to the bargaining unit, the University must ensure that the salary range of the position is easily identified.	We agree with the recommendations. Appendix A is supposed to match the most recent SERB certification. The University's labor lawyer prepared a petition to amend the bargaining unit and provided it to the OEA representative for the union's signature. It is now three years later and the university is still waiting for the union to sign the petition so it can be submitted to SERB. Human Resources maintains records that contain the proper titles and salary range assignments for APAS employees, including the titles and salary ranges for classifications not found in the current agreement.			Through external legal counsel the University is working with OEA to finalize a joint submission to SERB. Deadline has been revised to December 31, 2013.
PT Human Resources (Feb 2012)	03/31/13	The University should ensure that the appropriate staff understand the University's worker classification procedures. Check requests and Department Charge Forms should be reviewed prior to payment to ensure that they are not for payment of services. No payments should be made until all required documentation is complete.	The approval process will be scrutinized to identify deficiencies in the review and approval processes currently in place for independent contractors. The Independent Contracts for the after school programs are under review. The Office of Human Resources will develop and provide regular training in collaboration with the Office of Procurement to supervisors to ensure that payments are within University guidelines and the appropriate payment type is utilized.			Presentations will be developed in conjunction with the related issues on supplemental pay and occasional service contracts. Deadline has been revised to September 30, 2013.








Audits Timeline Matrix

Legend: Critical delay Behind but manageable On schedule Completed (will be deleted from next report)						
Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT Human Resources (Feb 2012)	03/31/13	University staff should be reminded of the requirements of University policy as it relates to supplementary payments. The Human Resources department should improve monitoring procedures over the timeliness of approvals and limitations on amounts of supplementary payments.	The existing supplemental pay policy is being revised to address the concerns expressed in the audit. Forms are being revised to correspond to the revised policy. Training will coincide with the revised processes and forms. The Manager, HRIS is charged with responsibility of exploring way to automate processes.			Revision of the Supplemental pay policy is in process. Deadline has been revised to September 30, 2013.
PT Human Resources (Feb 2012)	06/30/13	The Department of Human Resources should be responsible for processing all new hires and should orient all new employees to help ensure that University policies and procedures are properly communicated to new employees.	We agree that all newly hired University employees with the exception of student employees should be processed by Human Resources. The Manager, HRIS will be charged with researching ways to initiate and implement workflows to expedite the hiring process. Human Resources will collaborate with the Provost's Office to formulate and implement a part-time Faculty orientation program.			An Electronic Personnel Action form is being designed by the Interim HRIS Manager for review by users. The Interim is moving this forward.
PT Human Resources (Feb 2012)	06/30/13	The University should develop policies to govern the use of social networking profiles during the hiring process, consider hiring a third party to filter protected-class information from profiles prior to review of them by the University and disclose to employment candidates that a search of their social networking profile may be conducted.	We are conducting research to identify appropriate issues and language to utilize in the formulation of a policy and have also reached out to the IUC schools to identify if they currently have a social networking in hiring policy.			Research continues.







Audits Timeline Matrix

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Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT Human Resources (Feb 2012)	06/30/13	The University should expand the use of the Applicant Tracking Module of the PeopleAdmin software, which is currently used to collect and review employment applications.	The Manager, HRIS will be charged with the responsibility of expanding the applicant tracking module of PeopleAdmin. Additionally, the Manager, HRIS and the Technology and Training Coordinator will collaborate on the development of training programs to be presented on a regular basis to ensure that hiring managers are able to effectively utilize the system.			The changes will coincide with the completion of the PeopleAdmin update.
PT Facilities Department (Jan 2012)	06/30/13	We recommend that policies be updated to specifically state the rules and regulations regarding the personal use of University vehicles by employees and the use of University vehicles at locations beyond campus boundaries. [This recommendation is a repeat from a prior audit.]	Policy language regarding personal use of University vehicles will be drafted by the end of the current fiscal year.			The policy has been drafted and is in its final stage of review.
PT Accounts Payable (Jan 2013)	07/31/13	We recommend the University adopt an automated approach to processing accounts payable. The new process should handle both paper and electronic invoices, with emphasis on keeping manual data entry to a minimum.	A contract for the implementation of the remaining Settlement module components is in place with a scheduled go live date of July 1, 2013. This module will enhance efficiencies and controls surrounding the accounts payable process, including e-Invoicing, automated workflow, and reporting capabilities. The flowchart presented will be considered as processing changes are developed.			Testing of the Settlement module is in progress and training is planned for the latter part of May through June. A campus communication highlighting the benefits and processing changes was sent out early May.








Audits Timeline Matrix

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Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT Accounts Payable (Jan 2013)	07/31/13	We recommend the University establish an electronic payment program and convert as many vendor payments to the program as possible. A significant number of disbursements are routine payments to vendors with whom the University has an established relationship and to whom payments are made on a frequent basis.	Identification of current vendors who have e-invoicing capabilities is currently underway. Conversion to e-Invoicing will take place as part of the Sciquest Settlement implementation, which is scheduled to go live July 1, 2013.			A total of twelve vendors have been identified for conversion to e-Invoicing on July 1, 2013 and testing is underway. The addition of new vendors will be on ongoing process.
PT Accounts Payable (Jan 2013)	07/31/13	There is a lack of segregation of duties with Accounts Payable. The same person who has access to vendor maintenance also has the ability to post invoices in the accounts payable system. Any person who has the ability to post in the accounts payable system should not be able to create or change a vendor in the vendor maintenance files.	Responsibilities in the Accounts Payable area are split to ensure that the three main functions, vendor maintenance, invoice posting and check creation, are not assigned to any one staff member. This is controlled through Banner security. Although it may be desirable to segregate vendor maintenance and posting, we believe that our current segregation of duties is a compensating control that limits disruption during employee absences and minimizes the risk of fraud.			Segregation of duties surrounding the Accounts Payable process will reviewed with the external auditors during interim fieldwork.
PT Accounts Payable (Jan 2013)	07/31/13	We recommend that the vendor lists be reviewed periodically to remove inactive vendors. An aged activity report could be generated by vendor to assist with this review.	Although a comprehensive review of the vendor master file is performed when a new system is implemented, a routine vendor maintenance procedure does not currently exist. Vendor maintenance procedures will be established and implemented by July 1, 2013.			An accounting intern was hired to assist in a comprehensive review of the vendor master file as part of the Sciquest Settlement implementation project. Vendor maintenance procedures are being developed.









Audits Timeline Matrix

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Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT Accounts Payable (Jan 2013)	10/31/13	General Accounting's 100% audit of monthly procurement card transactions is not resolving non-compliance issues. Users of procurement cards should be retrained on how to use these cards and disciplinary actions should be taken when non-compliance issues are habitual. Questionable costs should be researched and resolved as soon as they are discovered.	The audits are being utilized as part of a comprehensive review to identify areas of non-compliance. As a result of audit findings, enforcement efforts increased, including systematic application of disciplinary actions. Updating of the P-Card manual is in process and will require mandatory cardholder re-training by October 2013. An accounting intern position has been added to assist in audit processes, including timely identification and follow-up of potential P-Card non-compliance.			A comprehensive audit approach and documentation process has been developed with the assistance of an Accounting Intern. The results of the audit period July 2012 through February 2013 are being analyzed to identify habitual types of non-compliance as well as individuals who are habitually in non-compliance. Results will be communicated through a general campus communication as well as specific communications to individual cardholders and their supervisors.
PT Accounts Payable (Jan 2013)	10/31/13	Many financial managers are not adhering to the University's procurement card policy. Infractions include failure to remit original receipts, failure to perform their review and failure to submit the supporting receipts by the required due date. The use of a procurement card should be viewed as a privilege and not a right. Therefore, stricter disciplinary actions should be taken in order to ensure compliance with University policy.	Enforcement efforts have increased, including systematic application of disciplinary actions. Stricter disciplinary actions will be incorporated into the updated P-Card manual and cardholders will be required to attend training by October 2013.			On track to complete by deadline.









Audits Timeline Matrix

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Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT Pollock Estate Project Construction Project Monitoring (Jan 2013)	12/31/13	For all construction projects the Facilities Department should reconcile their construction cost summaries with the costs in the Banner system. This would provide the Facilities Department the ability to monitor all construction costs in addition to contractor payments on a timely basis and allow them to make more informed decisions to help prevent cost overruns.	Construction project budgets utilized by Facilities to manage projects will be reconciled to the budget activity maintained in the Banner System on a regular basis.			The Controller's Office is working with Facilities to develop a process to track and reconcile financial activity for construction budgets. Full implementation is expected upon the hiring of the Capital Funds Analyst position in Facilities.
PT IT Governance (Nov 2009)	12/31/13	Develop formal IT governance standards.				To date, focus has been on the assessment of the University's current approach to Data Governance. This effort and the resulting recommendations are a direct product of the data warehouse initiative. The goal being to provide timely access to data relevant to the strategic decision-making process.









Audits Timeline Matrix

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Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
E&Y Mgt Let FY 2007 (Oct 2007)	12/31/13	The University should review the draft DRP plan to ensure it meets requirements in the event of a disaster. It should be tested to ensure that it functions as intended, includes a continuity strategy based on University priorities, and encompasses all key processes. A Business Impact Analysis (BIA) should be performed to determine the functions that are considered essential to the University's core business operations and the timeframe that these need to be recovered. Annually and when major changes occur to the technology environment, the plan should be reviewed, revised, and tested. [This recommendation was made in prior years.]	Several steps have been taken to address this repeated language to prepare the campus to move forward with the disaster recovery initiative. It is estimated that a complete and verifiable Banner-specific disaster recovery strategy will be delivered within 6-12 months following the implementation of the SCT Banner systems. In preparation for the Banner specific disaster recovery initiative, a service level agreement with Ohio State University to serve as YSU's disaster recovery site has been completed. Hardware was purchased to establish connectivity with Ohio State University. YSU personnel traveled to Columbus to install the hardware and have begun testing connectivity to YSU.			Off-site data centers are being considered either through state contracts or reciprocity agreements with other Higher Education Entities for long term DR plans. Other short term alternatives are also being explored.
PT Payroll (Aug 2009)	12/31/13	We suggest that a disaster recovery plan be established. [This recommendation is a repeat from a prior audit.]	Resolution is contingent upon the completion of the University-wide Disaster Recovery plan which is not expected to be completed until December 2012.			Off-site data centers are being considered either through state contracts or reciprocity agreements with other Higher Education Entities for long term DR plans. Other short term alternatives are also being explored.

Audits Timeline Matrix

Legend:  Critical delay  Behind but manageable  On schedule  Completed (will be deleted from next report)						
Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
PT Human Resources (Feb 2012)	06/30/14	Personnel forms should be filed immediately and files should be locked whenever not attended by a responsible person, such as during lunch breaks and when away from their desk. Access should be monitored and a method of tracking those individuals who use the files, other than Human Resources staff, should be used consistently throughout the department.	We agree that there are issues with the administration of documents and employee files. That was a component of the decision to create the Manager, Processing and Employee Records position. The Manager, Processing & Employee Records (who began employment on May 21st) will be charged with the responsibility to conduct an audit of existing personnel files, identify the manner (electronic/paper) in which the files will be maintained and to ensure that the files are secure.			On track to complete this by the anticipated deadline of June, 2014.
PT Human Resources (Feb 2012)	12/31/14	The University should establish a timeline for the implementation of the Position and Performance Management Module of PeopleAdmin.	The Manager, HRIS will be charged with the responsibility of ensuring that the interface between Banner and PeopleAdmin is updated so that the uploading of job descriptions to People Admin can be complete. Once position descriptions are uploaded to PeopleAdmin, the focus will turn to performance reviews.			All job description have been loaded into PeopleAdmin. The performance management component will be piloted during 2013 with full implementation in 2014.

Audits Timeline Matrix

Legend:  Critical delay  Behind but manageable  On schedule  Completed (will be deleted from next report)						
Audit Name	Deadline	Summary of Recommendation	Summary of Response	Status 1/25/2013	Status 5/3/2013	Comments
Crowe Mgt Let FY 2011 (Oct 2011)	12/31/14	We recommend management evaluate the ability to store CLM passwords in an encrypted format. In addition, the enhancement of Windows Active Directory password requirements such as enabling password complexity, history and change requirements is recommended.	As an alternative to the unencrypted CLM password, the vendor suggested using a Window Directory Services login which utilizes encrypted passwords. Password change, complexity, and history requirements would then be enforced given this scenario. This alternative login will be investigated with the intent to implement.			CLM is tentatively scheduled for replacement prior to Fall Term 2013. Loan management will be provided through ECSI's hosted solution.
Crowe Mgt Let FY 2012 (Oct 2012)	12/31/14	We recommend an enhancement of Windows Active Directory password requirements such as enabling password complexity, history and change requirements.	Agree. The University Security Practice document clearly sets improved password management as a standard. It is a project within ITS priorities and is scheduled to be addressed after certain pressing infrastructure projects have been completed. We would anticipate completing this upgrade within two years.			This is currently an active project within ITS. Enhancements to the Active Directory environment will be phased-in over the course of the estimated 24-month project.

YOUNGSTOWN STATE UNIVERSITY
Accounting Timeline Status for Key Activities
FY 2013 Cycle

Legend: Critical delay Behind but manageable On schedule Completed				
Topic	Deadline	Critical Task	5/3/2013	Comments
External Audit	04/25/13	Planning Meeting (Crowe Horwath)		
General	04/30/13	July 1, 2013 through March 31, 2013 monthly processing, reconciling and reporting		
Internal Audit	05/31/13	Planning Meeting (Packer Thomas)		
General	05/31/13	April monthly processing, reconciling and reporting		
General	06/30/13	May monthly processing, reconciling and reporting		
External Audit	07/15/13	Interim external audit activities (YSU, A-133)		
General	08/31/13	June monthly processing, reconciling and reporting		
General	08/31/13	July monthly processing, reconciling and reporting		
General	09/30/13	August monthly processing, reconciling and reporting		
External Audit	10/15/13	Ohio Revised Code (ORC) Compliance		
External Audit	10/15/13	Year-end external audit activities (YSU)		
External Audit	10/15/13	YSU Filing - Comprehensive Annual Financial Report (CAFR) to OBM and State Auditor		
External Audit	10/22/13	WYSU and NCAA ready for auditors		
External Audit	10/31/13	YSU Filing - Auditor of State (Unaudited Financial Report)		
General	10/31/13	YSU Filing - OBOR (Unaudited Financial Report)		
General	10/31/13	September monthly processing, reconciling and reporting		
External Audit	11/16/13	Management response to FY13 management letter		
External Audit	11/30/13	YSU Filing - Bond Trustee - Audited Financial Report		Bond Series 2009, Bond Series 2010, and Bond Series 2011
External Audit	11/30/13	YSU Filing - Moodys - Audited Financial Report		Bond Series 2009, Bond Series 2010, and Bond Series 2011
External Audit	11/30/13	YSU Filing - Standard & Poors - Audited Financial Report		Bond Series 2009, Bond Series 2010, and Bond Series 2011
General	11/30/13	October monthly processing, reconciling and reporting		

YOUNGSTOWN STATE UNIVERSITY
Accounting Timeline Status for Key Activities
FY 2013 Cycle

Legend: Critical delay Behind but manageable On schedule Completed				
Topic	Deadline	Critical Task	5/3/2013	Comments
External Audit	12/31/13	YSU Filing - WYSU (reflects one month extension)		
External Audit	12/31/13	YSU Filing - Auditor of State - Audited Financial Report		
External Audit	12/31/13	YSU Filing - OBOR-Financial Report		
General	12/31/13	November monthly processing, reconciling and reporting		
External Audit	01/15/14	NCAA Agreed Upon Procedures		
General	01/31/14	December monthly processing, reconciling and reporting		
External Audit	03/01/14	YSU Filing - Bond Trustee for filing to Municipal Securities Rulemaking Board (MSRB) (Annual Financial Information and Operating Data and Audited Financial Report)		Bond Series 2009, Bond Series 2010, and Bond Series 2011
External Audit	03/31/14	YSU Filing - Federal Audit Clearing - Single Audit Report		
External Audit	03/31/14	YSU Filing - Dept. of Ed. E-Z Audit A-133		

Youngstown State University
Audit Subcommittee Charter

Purpose

The primary function of the Audit Subcommittee is to assist the Board of Trustees in fulfilling its oversight responsibilities for the institution's accounting and financial reporting processes and audits by monitoring:

- the integrity of the University's financial statements,
- the independence, qualifications, and performance of its external and internal auditors,
- the University's system of internal controls, and
- the University's compliance with laws, regulations and codes of conduct.

Subject to State Auditor's role and requirements, the Audit Subcommittee will be responsible for the appointment, compensation, retention, oversight and evaluation of the University's external and internal auditors. The Audit Subcommittee shall maintain an effective, open avenue of communication among the external auditors, internal auditors, senior management and the Board of Trustees.

The Subcommittee's function is one of oversight, and as such it recognizes that management is responsible for preparing the financial statements and that the external auditors are responsible for auditing those financial statements.

The Subcommittee has the authority to retain legal, accounting and other advisors to assist in the performance of its responsibilities. The University shall compensate the independent auditors and advisors employed by the Audit Subcommittee, and provide for associated administrative expenses.

Structure

The Audit Subcommittee is a subcommittee of the Finance & Facilities Committee of the Board of Trustees of Youngstown State University. Board members are appointed by the Governor of the State of Ohio. The Board will seek to ensure financial expertise on the Audit Subcommittee through appointments and training. Further, no member of the Audit Subcommittee may concurrently serve on the Investment Subcommittee.

Meetings

The Audit Subcommittee shall meet at least quarterly and at any other convenient date on an as-needed basis. The Audit Subcommittee may ask members of management or others to attend Audit Subcommittee meetings and provide pertinent information when needed. The Audit Subcommittee shall meet periodically with management, external auditors and the independent Internal Auditor.

Date Last Reviewed _____ 12-2012 _____

Youngstown State University
Audit Subcommittee Charter

Functions and Responsibilities

Internal Control

1. Review with management, Internal Audit and external auditors the adequacy and effectiveness of the University's policies for assessing and managing risk.
2. Examine internal and external auditors' findings of weaknesses and recommendations for the improvement of internal controls. Monitor management's response to and implementation of internal control recommendations.

Financial Reporting

1. Review annual financial statements prior to public release and discuss such statements with management and the independent auditors.
2. Discuss any changes in accounting principles, significant judgment areas and significant or complex transactions (including any off-balance sheet structures) that occurred. Consider management's handling of proposed audit adjustments identified by the independent auditors.
3. Consult with auditors and accounting personnel on the integrity of the internal and external financial reporting process. Determine if key reporting objectives are being met.

Independent Auditors

1. Serve as the authority to which the independent auditors report.
2. Review, at least annually, all relationships between the independent auditors and the University and assess the independent auditors' independence.
3. Review the audit scope and approach of the independent auditors' examinations and direct the auditors to areas that, in the Audit Subcommittee's opinion, require more attention. Audit engagement letters are to be addressed to the Audit Subcommittee rather than to management.
4. Discuss with the independent auditors any significant findings, difficulties, disagreements with management, restrictions on scope of the audit, or limitations on information or personnel encountered while performing the audit.
5. Pre-approve all significant audit and permitted non-audit services and related fees to be performed by the University's independent auditors. The Chairperson of the Audit Subcommittee shall have the authority to review and approve all such proposals and shall report back to the full Subcommittee at each meeting.

Internal Auditors

1. Review and examine the objectivity, effectiveness and resources of the internal audit function.
2. Concur in the appointment or replacement of the provider of internal audits services.
3. Review the internal audit plan for the current year and review the risk assessment procedures used to identify projects included in the plan.
4. Review the results of internal audit activities and track the progress of the internal audit plan.

Date Last Reviewed _____ 12-2012 _____

Youngstown State University
Audit Subcommittee Charter

Other

1. Ensure that appropriate code(s) of conduct/ethics are formalized in writing. Review management's monitoring of compliance therewith, including changes or waivers to the code(s).
2. Review legal and regulatory matters that may have a material impact on the financial statements and the related compliance policies and procedures.
3. Ensure that procedures exist for the receipt, retention and treatment of complaints regarding accounting, internal controls or auditing matters, including procedures for the confidential, anonymous submission by employees of concerns regarding questionable accounting or auditing matters. Periodically review summary reports of such complaints.
4. Review and assess, at least every three years, the Audit Subcommittee's charter and performance, and submit changes to the charter for approval of the Board.
5. Recommend to the Board policies for hiring employees or former employees of the independent auditor.
6. Perform other oversight functions as requested by the Board of Trustees.

Date Last Reviewed _____ 12-2012 _____

YOUNGSTOWN STATE UNIVERSITY INTERNAL AUDIT CHARTER***Mission Statement***

Internal Audit will assist The YSU Board of Trustees and University management in the discharge of their oversight, management, and operating responsibilities through *independent* audits and consultations designed to evaluate and promote the system of internal controls, including effective and efficient operations.

Definition of Internal Auditing

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

Authority and Accountability

To ensure maximum independence and adequate consideration of recommendations, Internal Audit will report to the Audit Subcommittee of the Board of Trustees and will have direct access to the Audit Subcommittee and/or President. Daily interactions and administration of the internal audit contract will be coordinated by the Vice President for Administration and Finance or his designee.

Internal Audit is authorized to have unrestricted access to University information, including records, computer files, property, and personnel of the University in accordance with the authority granted by the Board's approval of this charter and applicable federal and state statutes. Internal Audit is free to review and evaluate all policies, procedures, and practices of any University-related activity, program, or function except where limited by law or University policy.

Scope of Work

Internal Audit will assess the University's processes of risk management, control, and governance to ensure that:

- Risks are appropriately identified and managed.
- Significant financial, managerial, and operating information is accurate, reliable, and timely.
- Employees' actions are in compliance with policies, standards, procedures, and applicable laws and regulations.
- Resources are acquired economically, used efficiently, and adequately protected.
- Programs, plans, and objectives are achieved.
- Quality and continuous improvement are fostered in the University.

In conducting their assessments, Internal Audit will:

- Develop a flexible annual audit plan using an appropriate risk-based methodology, including any risks or concerns identified by management, and submit that plan to the Audit Subcommittee of the Board of Trustees for review and approval.
- Implement the approved annual audit plan and provide quarterly status reports.
- Maintain a professional audit staff with sufficient knowledge, skills, and experience to meet the requirements of this Charter. At a minimum, comply with relevant professional standards, such as the *International Standards For The Professional Practice of Internal Auditing* and the *Code of Ethics* of the Institute of Internal Auditors, Inc.
- Issue periodic reports to management, and Audit Subcommittee as appropriate, summarizing results of audit activities.