THE PENNSYLVANIA STATE UNIVERSITY

The University Faculty Senate

AGENDA

Tuesday, January 23, 2018 – 1:30 p.m.
112 Kern Graduate Building

Senators are reminded to bring their PSU ID cards to swipe in a card reader to record attendance.

In the event of severe weather conditions or other emergencies that would necessitate the cancellation of a Senate meeting, a communication will be posted on Penn State Live at [http://live.psu.edu/](http://live.psu.edu/).

A. MINUTES OF THE PRECEDING MEETING

Minutes of the December 5, 2017 Meeting in The Senate Record 51:3

B. COMMUNICATIONS TO THE SENATE

Senate Curriculum Report of January 9, 2018

C. REPORT OF SENATE COUNCIL - Meeting of January 9, 2018

D. ANNOUNCEMENTS BY THE CHAIR

E. COMMENTS BY THE PRESIDENT OF THE UNIVERSITY

F. COMMENTS BY THE EXECUTIVE VICE PRESIDENT AND PROVOST OF THE UNIVERSITY

G. FORENSIC BUSINESS

H. UNFINISHED BUSINESS

Senate Committee on Committees and Rules

Revisions to Bylaws; Article II – Membership, Section 5(c) (Introduced at the December 5, 2017 meeting)

**THIS REPORT WILL APPEAR ON THE MARCH 13, 2018, SENATE AGENDA IN CORRECTED FORMAT**
Revisions to Constitution; Article I – Functions, Section 1
(Introduced at the December 5, 2017 meeting)  

Appendix C

I. LEGISLATIVE REPORTS

Senate Committee on Committees and Rules

Revisions to Bylaws; Article IV – Committees, Section 6  
Appendix D

Senate Committee on Curricular Affairs

Guidelines for Academic Program Information Appearing in the University Bulletin  
Appendix E

J. ADVISORY/CONSULTATIVE REPORTS

Senate Committee on Research, Scholarship, and Creative Activity

Proposed Changes to Penn State Policy SY 45, Use of Unmanned Aircraft (“UA”)  
Appendix F

K. INFORMATIONAL REPORTS

Senate Committee on Admissions Records, Scheduling, and Student Aid

Annual Report on the Reserved Spaces Program*  
Appendix G

Update on LionPATH Implementation  
[25 minutes allocated for presentation and discussion]

Elections Commission

University Faculty Census Report 2018-2019*  
Appendix I

Senate Committee on Libraries, Information Systems, and Technology

PSU Libraries Collection Budget Report, 2017  
[20 minutes allocated for presentation and discussion]

Senator Committee on Undergraduate Education

Summary of Petitions by College, Campus, and Unit 2016-2017*  
Appendix K

* No presentation of reports marked with an asterisk.

L. NEW LEGISLATIVE BUSINESS

M. COMMENTS AND RECOMMENDATIONS FOR THE GOOD OF THE UNIVERSITY
The next meeting of the University Faculty Senate will be held on Tuesday, March 13, 2018, 1:30 p.m., Room 112 Kern Graduate Building.

All members of the University Faculty Senate are asked to sit in their assigned seats for each Senate meeting. The assignment of seats is made to enable the Senate Chair to distinguish members from visitors and to be able to recognize members appropriately. Senators are reminded to wait for the microphone and identify themselves and their voting unit before speaking on the floor. Members of the University community, who are not Senators, may not speak at a Senate meeting unless they request and are granted the privilege of the floor from the Senate Chair at least five days in advance of the meeting.
COMMUNICATION TO THE SENATE

DATE: January 10, 2018

TO: Matthew Woessner, Chair, University Faculty Senate

FROM: Michele Duffey, Chair, Senate Committee on Curricular Affairs

The Senate Curriculum Report dated January 9, 2018 has been circulated throughout the University. Objections to any of the items in the report must be submitted to Kadi Corter, Curriculum Coordinator, 101 Kern Graduate Building, 814-863-0996, kkw2@psu.edu, on or before February 8, 2018.

The Senate Curriculum Report is available on the web and may be found at: http://senate.psu.edu/curriculum/senate-curriculum-reports/
SENATE COMMITTEE ON COMMITTEES AND RULES

Revisions to Bylaws; Article II – Membership, Section 5(c)

(Legislative)

Implementation: UPON APPROVAL BY THE SENATE

Rationale:

Student senator representation to the Senate is detailed in the Constitution, Article II, Section 5(c) where it states that, “The full-time, degree-seeking students at the University shall be represented by student senators elected by their units and by two ex officio student senators from undergraduate student government organizations.”

The Bylaws go on to stipulate the election of student representatives from various colleges, locations and units (including the Graduate School, Dickinson Law, Penn State Law, and the College of Medicine).

Article II, Section 5(c)(4) goes on to allocate student senators as:
“Two leaders of undergraduate student government organizations as follows: One representative of the University Park Undergraduate Association; One representative of the Council of Commonwealth Student governments. Whenever comparable units are added to the University or created through reorganization, each new unit shall elect one student senator. The term of a student senator shall be one year.”

Given that each undergraduate and graduate student unit is represented by an elected student senator, it seems inequitable that undergraduate student government organizations are provided representation, while the graduate and professional student government is not afforded similar representation.

The duly recognized Graduate and Professional Student Association was established in 1951 (originally as the Graduate Student Association and then reorganized in its current form in 2014). Moreover, there is already a provision for adding representation as needed.

It is therefore the opinion of the CC&R that this inequity in representation be redressed by providing for a senator from the Graduate and Professional Student Association.

Recommendation:

That Article II, Section 5(c) of the Bylaws be and is hereby amended as follows:
Bold indicates new text; strikethroughs indicated deleted text.

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Article IV
Section 5(c)
The full-time, degree-seeking students at the University shall be represented by student senators elected by their units and by two three ex officio student senators from two undergraduate student government organizations and one graduate and professional student government organization.

Section 5(c)(4)
Three Two leaders of undergraduate student government organizations as follows: One representative of the University Park Undergraduate Association; One representative of the Council of Commonwealth Student governments; One representative of the Graduate and Professional Student Association. Whenever comparable units are added to the University or created through reorganization, each new unit shall elect one student senator. The term of a student senator shall be one year.

SENATE COMMITTEE ON COMMITTEES AND RULES

- Jonathan Abel
- Michael Bérubé
- Victor Brunsden
- Mark Casteel
- Ann Clements
- Amy Dietz
- Beth King
- Richard Robinett
- James Strauss
- Jane Sutton
- Ann Taylor
- Kent Vrana (Chair)
- Nicole Webster (Co-Chair)
- Matthew Woessner
SENATE COMMITTEE ON COMMITTEES AND RULES

Revisions to Constitution; Article I – Functions, Section 1

(Legislative)

Implementation: Upon Approval by the President

Rationale:
According to Article I, Section 1 "The University Faculty Senate shall have the following functions:

(a) Legislative
To serve as the sole legislative body representing the University Faculty as a whole. Its actions shall be authoritative on all matters that pertain to the educational interests of the University (graduate and undergraduate resident instruction, research, and continuing education) and on all educational matters that concern the faculties of more than one college, subject, after consultation, to revision and orders of the president of the University."

With the growth of Penn State World Campus, and other online delivery systems, the "resident" which precedes the word "instruction" could be read to limit the Senate’s jurisdiction over online education. In fact, such a limitation would contradict our institution’s commitment to a philosophy of "a course is a course." as we do not differentiate between resident instruction and online instruction.

Moreover, the absence of a reference to "professional education" might be viewed as excluding professional instruction from Senate authority.

To clarify these issues, the CC&R recommends that "resident" be stricken and the remainder of the sentence be modified to more completely affirm that the Senate has ultimate authority over the entire educational interests of the University.

Recommendation:

That Article I, Section 1 of the Constitution be and is hereby amended as follows:

Bold indicates new text; strikethroughs indicated deleted text.

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Article I

Section 1

The University Faculty Senate shall have the following functions:
(a) Legislative
To serve as the sole legislative body representing the University Faculty as a whole. Its actions shall be authoritative on all matters that pertain to the educational interests of the University (all graduate, professional and undergraduate resident instruction, research, and continuing education) and on all educational matters that concern the faculties of more than one college, subject, after consultation, to revision and orders of the president of the University.

SENATE COMMITTEE ON COMMITTEES AND RULES

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SENATE COMMITTEE ON COMMITTEES AND RULES

Revisions to Bylaws; Article IV – Committees, Section 6

(Legislative)

Implementation: UPON APPROVAL BY THE SENATE

Rationale:

The University Faculty Senate is a deliberative body that relies on the expertise of its committees when considering important questions. While committees often come to a decision by consensus, some questions are decided by a split vote. Under the Senate bylaws, there is no formal mechanism by which members of a committee can disseminate their concerns about recommendations made by the committee as a whole. Permitting committee members with the option of writing a minority opinion, and having it submitted along with the decision of the majority, permits the full Senate to better understand the nature of the disagreement within a committee, and to make more informed judgments when considering whether to support a committee’s recommendation.

Recommendation:

That Article IV, Section 6 of the Bylaws be and is hereby amended as follows:

Bold indicates new text.

Article IV

Section 6

Members of a Senate committee may file a minority opinion outlining concerns or objections to a pending committee report, provided that the minority opinion is signed by two or more voting members. If the committee report is approved for the agenda, Senate Council will include the minority opinion(s) in the Senate Agenda for the Senate’s consideration. The author(s) of a minority opinion will not present the report or stand for questions during the presentation of the report except by special invitation by the Chair. Committee members, like all Senators, are free to ask questions, or make statements when the Senate considers the pending report.

SENATE COMMITTEE ON COMMITTEES AND RULES

- Jonathan Abel
- Michael Bérubé
• Victor Brunsden
• Mark Casteel
• Ann Clements
• Amy Dietz
• Beth King
• Richard Robinett
• James Strauss
• Jane Sutton
• Ann Taylor
• Kent Vrana, Chair
• Nicole Webster, Vice-Chair
• Matthew Woessner
Rationale:

On March 4, 1980, the University Faculty Senate approved “Guidelines for Writing Program Descriptions for the Catalog” with the intent of ensuring program information in the Baccalaureate Degree Programs Bulletin and the Associate Degree Programs Bulletin would clearly serve as informational tools and official documents for the university community and to be compatible with federal regulations regarding descriptive materials of academic programs. Though several decades have passed and the Bulletin has transformed from a print version to the digital format, many of the original recommendations remain relevant.

Currently, the university is implementing a new digital bulletin. Thus, it is a well-timed opportunity to adjust wording to better reflect the intent of the contents. At this time, the removal of redundant or contradictory statements is desired. For durability in these guidelines and to address variability in navigating the curricular pathway, the removal of reference to a time line for submitting proposals is also appropriate.

The Bulletin provides students with the appropriate information and approved curricular requirements needed to fulfill general education requirements and to pursue a program(s) of study. Because curriculum is dynamic, the university reserves the right to change the requirements and regulations contained in the bulletin to reflect the most current approved curriculum.

Recommendation:

It is recommended that the March 4, 1980 “Guidelines for Writing Program Descriptions for the Catalog” be replaced by “Guidelines for Academic Program Information Appearing in the University Bulletin” as follows to provide clarity for the Bulletin representing the approved curriculum.

Please note that the following contains bold text for additions and strikeouts indicating deleted text. Deleted text is notated with [Delete] [End Delete]. Added text is notated in with [Add] [End Add].

1. A program description should be limited to about 200 words, or approximately 15 lines in the [Delete] catalog [End Delete] [Add] bulletin [End Add]. If there are options or additional bona fide special features (e.g. dual degree programs, co-operative programs such as work-study), descriptions of these should be limited to an additional 75 words each, or 5 additional lines in the [Delete] catalog [End Delete] [Add] bulletin [End Add]. [Delete] (Approximately 30, or one forth, of the program descriptions exceed the word limitation.) [End Delete]
2. The content of program descriptions should be limited to
   a. A statement of program objectives;
   b. Fields of study within the major, emphasizing any unique aspects or facilities specifically related to this program;
   c. Requirements and any recommendations or limitations regarding competencies, skills, or abilities needed for admission, retention, transfer, and graduation;
   d. Total credits necessary for graduation;
   e. If space remains, a general statement about subsequent academic or professional work in the field.

3. The program description should contain only straightforward objective language, not generalized, colorful, or vague statements which might be ambiguous or misleading.

4. An addition of the following disclaimer now in the catalog:

   REGULATIONS SUBJECT TO CHANGE

   The educational process necessitates change. This bulletin must be considered as informational and not binding on the University.

   Each step of the educational process, from admission through graduation, requires continuing review and appropriate approval by University officials. The University, therefore, reserves the right to change the requirements and regulations contained in this bulletin and to determine whether a student has satisfactorily met its requirements for admission or graduation, and to reject any applicant for admission for any reason the University determines to be material to the applicant’s qualifications to pursue higher education. NOTHING IN THIS CATALOG SHOULD BE CONSIDERED A GUARANTEE THAT COMPLETION OF A UNIVERSITY PROGRAM AND GRADUATION FROM THE UNIVERSITY WILL RESULT IN EMPLOYMENT.

5. Although these guidelines are for the baccalaureate and associate degree programs, all program descriptions in all catalogs should be reviewed with these guidelines in mind.

   The deadline for submitting revised program descriptions to the Senate Committee on Curricular Affairs for review and approval, and inclusion in the 1982-83 catalog, will be May 1981 Blue Sheet.
b. Fields of study within the major, emphasizing any unique aspects or facilities specifically related to this program;
c. Requirements and any recommendations or limitations regarding competencies, skills, or abilities needed for admission, retention, transfer, and graduation;
d. Total credits necessary for graduation;
e. If space remains, a general statement about subsequent academic or professional work in the field.

3. The program description should contain only straightforward objective language, not generalized, colorful, or vague statements which might be ambiguous or misleading.

4. An addition of the following disclaimer now in the catalog:

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Each step of the educational process, from admission through graduation, requires continuing review and appropriate approval by University officials. The University, therefore, reserves the right to change the requirements and regulations contained in this bulletin and to determine whether a student has satisfactorily met its requirements for admission or graduation, and to reject any applicant for admission for any reason the University determines to be material to the applicant’s qualifications to pursue higher education. NOTHING IN THIS BULLETIN SHOULD BE CONSIDERED A GUARANTEE THAT COMPLETION OF A UNIVERSITY PROGRAM AND GRADUATION FROM THE UNIVERSITY WILL RESULT IN EMPLOYMENT.

5. Although these guidelines are for the baccalaureate and associate degree programs, all program descriptions in all bulletins should be reviewed with these guidelines in mind.

SENATE COMMITTEE ON CURRICULAR AFFAIRS

- Michael Bartolacci
- Arthur Berg
- Laurie Breakey
- Colleen Connolly-Ahern
- Michele Duffey, Chair
- Marc Friedenberg
- Sharon Holt
- Kenneth Keiler
- Suzanna Linn, Co-Vice Chair
- Robert Melton
- Mari Pierce
- Julia Plummer
- Lisa Posey
- Ljubisa Radovic
- Angela Rothrock
• Robert Shannon
• Richard Singer
• Jennifer Sliko
• Melissa Snyder
• Evelyn Thomchick
• Rodney Troester
• Matthew Wilson, Co-Vice Chair
SENATE COMMITTEE ON RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY

Proposed Revisions to Penn State Policy SY 45, Use of Unmanned Aircraft (“UA”)

(Advisory/Consultative)

Implementation: Upon Approval by the President

Introduction and Rationale

At the October 17, 2017 meeting of the Senate Committee on Research, Scholarship, and Creative Activity, Debra Thurley (Executive Director of Research Compliance) and Michael Yukish (Unmanned Air Systems Operations [UAS Ops] Manager, ARL) presented information and answered questions regarding proposed policy changes to SY 45, Use of Unmanned Aircraft (“UA”).

SY 45 became effective on September 2, 2015, and established a blanket prohibition on the operation of UA. The policy states, “According to current FAA guidance, all use of UA for University purposes (including for education, research and public service) requires appropriate FAA approvals. The University does not currently possess FAA approval. Therefore, all OUTDOOR use of UA for University purposes is prohibited until further notice.”

Whereas the existing policy prohibits the operation of UA, the proposed revisions outline the specific circumstances under which such operation now will be permitted. Under the revised policy, UA may be used so long as “the operator is a student, University employee (in the course of their employment), or other individual approved by the University to operate a UA. Approval for all UA operations on University Property must be provided by the UA Operations Manager.” Once named, the UA Operations Manager will report to the Associate Vice President for Research/Director of the Office of Research Protections, and will regularly consult with the Assistant Vice President for Police and Public Safety. The revised policy states that all UA use must abide by FAA regulations, outlines requirements for all operations of UA, and addresses the issue of non-compliance. Given the important research applications of UA, policy stewardship is expanded to include the Associate Vice President for Research/Director of the Office for Research Protections.

Recommendation

At its October 17, 2017 meeting, the Committee on Research, Scholarship, and Creative Activity voted to endorse the proposed revisions to policy SY 45 Use of Unmanned Aircraft, and to recommend that the Senate also offer its endorsement of the revised policy.
Policy Status: Active

Policy Steward: Assistant Vice-President for Police and Public Safety / Director of Environmental Health and Safety, and the Associate Vice President for Research and Director of the Office for Research Protections

PURPOSE:
To define the requirements for the use of Unmanned Aircraft ("UA") on property University owned or controlled property, by The Pennsylvania State University ("Penn State" or "University"), or elsewhere for University-affiliated activities.

POLICY:
Pursuant to all applicable federal, state and local laws, this policy governs the use of Unmanned Aircraft ("UA") to ensure their safe and orderly use. According to current FAA guidance, all use of UA for University purposes (including for education, research and public service) requires appropriate FAA approvals. The University does not currently possess FAA approval. Therefore, all OUTDOOR use of UA for University purposes is prohibited until further notice.

DEFINITION:
Unmanned Aircraft ("UA") is any contrivance invented, used or designed to navigate, or fly in, the air that is operated without the possibility of direct human intervention from within or on the aircraft.

DEFINITIONS:
Operator: any person controlling the flight of a UA, whether through the direct operation as a pilot or under the supervision of a remote pilot in command.

Restricted Areas: University Property that the University has deemed too sensitive or unsafe to permit use of UA.

Unmanned Aircraft ("UA"): an aircraft operated without the possibility of direct human intervention from within or on the aircraft.

University-Affiliated Activity: an event, function or activity sponsored by the University, or a University department, organization, or group. This includes research activities conducted under the auspices of the University but does not include activities by recognized student organizations.

University Property: all property owned, occupied, or leased by The Pennsylvania State University. This does not include property that is solely owned, occupied, or leased by Penn State Health and governed by Penn State Health policy.

USE OF AN UNMANNED AIRCRAFT ("UA"): 

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There are public safety concerns that must be addressed. The following operational restrictions apply to all UA used on University-owned or controlled property, or for University-affiliated activities.

1. UA shall not create an undue hazard to University-owned or controlled property, the University community or the public at any time, and they may not be operated in a way which unduly affects the environment of those working within a building, or those entering, exiting or walking around a facility.
2. UA may not be operated above public open-air events, inside public venues or above thoroughfares.
3. UA must be under the control of the operator at all times.
4. All UA operated outdoors must be operated pursuant to current FAA guidelines.
5. If the UA is used in support of research, teaching or testing, faculty, staff or research associates must supervise student use of UA.
6. If a University unit arranges for a contractor or a third party to use a UA for purposes associated with a University facility or event, the unit shall contact the Risk Management Office to ensure that the UA owner and operator has adequate liability insurance and takes the risk mitigation arrangements deemed appropriate.
7. UA may not be operated within a 5 mile radius of any airport designated by the FAA, without prior notice by the operator of the UA to the airport operator and air traffic control tower.

A. On University Property
Use of UA on University Property is prohibited unless the operator is a student, University employee (in the course of their employment), or other individual approved by the University to operate a UA. Approval for all UA operations on University Property must be provided by the UA Operations Manager.

All use of UA on University Property, for any purpose, must abide by the applicable FAA authorization. University students and recognized student organizations may operate a UA on University Property in accordance with FAA regulations for model aircraft (14 C.F.R. Part 101), if they are using the UA for hobby and recreational use only (which can include educational activities conducted as part of a student’s coursework). Note that 14 C.F.R. Part 101 operations must follow a community based set of safety guidelines; thus, when operating on University Property, UA operations under Part 101 must abide by the Academy of Model Aeronautics National Model Aircraft Safety Code (AMA).

Restricted & Altitude Restricted Areas. Use of UA in Restricted Areas, or in violation of the maximum altitude above the ground in Altitude Restricted Areas, is prohibited by all UA operators, for any purpose. Each University campus, in collaboration with the UA Operations Manager, will be responsible for developing and publishing a map identifying Restricted Areas and Altitude Restricted Areas Map for its respective campus. If applicable, space may be deemed a Restricted Area only for particular day and/or times. Access to site specific information will be via https://www.research.psu.edu/UasOperations.

B. For University-Affiliated Activities Not on University Property
Use of UA for University-Affiliated Activities must abide by University policy as well as the rules and regulations governing the area of flight.

REQUIREMENTS FOR ALL OPERATIONS OF UA:
All use of UA on University Property and all use of UA on non-University property by the University, its students and employees, or third party contractors or affiliates for University-Affiliated activities must abide by the following requirements:

1. University UA Operations Manual. All UA operations on University Property or as part of a University-Affiliated activity must be conducted in accordance with the applicable federal, state, and local laws, as well as the University’s UA Operations Manual, which addresses issues such as training, pre- and post-flight procedures, flight logs, safety concerns and flight restrictions.

2. Registration. All UA requiring registration with the FAA must also be registered with the University.

3. Insurance. All registered UA must be insured unless the operation is being conducted by individual students as a model aircraft in accordance with 14 C.F.R. Part 101. Contractor’s evidence of insurance must be provided to and verified by the University’s Risk Management Office. UA operations by student organizations require insurance; however, student organizations are responsible for providing their own insurance.

4. License. Operators must possess and supply their piloting credentials to the University prior to flight. Students operating under 14 C.F.R. Part 101 are not required to possess a remote pilot license, however, they are required to have completed the University’s UA Compliance Course.

5. Safety. Use of UA shall not create an undue hazard to life or property, and they may not be operated in a way which invades privacy, unduly affects the environment of those working within a building, or those entering, exiting or walking around a facility or University Property. The UA must be under the control of the operator at all times.

6. Permissions. UA Operators of UA operations that are part of a University-Affiliated Activity but not on University Property must receive documented permission from the property owner of the property where the UA operations will occur. Such permission shall be provided to the UA Operations Manager upon request.

7. Accident Reporting. All accidents that result in injury or that cause property damage (other than to the UA itself) must be reported to the UA Operations Manager within 24 hours. Accidents that result in serious injury or property damage over $500 must be reported immediately. Details on reporting criteria and processes can be found at https://www.research.psu.edu/UasOperations. In addition, all injuries must be reported as outlined in University Policy SY04, Employee Accidents – Reporting and Investigation, and SY05, Injuries to Any Person, And Reporting Incidents Involving Other Than Employees.

8. Public Venues. UA may not be operated above public open-air events, inside University athletic and entertainment venues open to the public, or above thoroughfares without prior approval by the University.
9. Airport. UA, operating as a model aircraft under Part 101, may not be operated within a 5 mile radius of any airport designated by the FAA, without prior notice by the operator of the UA to the airport operator and air traffic control tower. Site specific information may be found https://www.research.psu.edu/UasOperations.

10. Third Party Operations. In addition to the aforementioned requirements, if a University unit arranges for a third party to operate a UA on University Property or for a University-Affiliated Activity,
   a. The unit shall contact the Risk Management Office to ensure that the UA owner and operator has adequate liability insurance and takes the risk mitigation arrangements deemed appropriate.
   b. If a third party will be operating under their own FAA waiver or authorization, the third party will provide copy to the UA Operations Manager for prior approval.
   c. The third party shall provide documentation supporting the operator’s certification and medical readiness.

EXCEPTIONS:
Any exceptions or waivers to the FAA regulations on flight or this Policy must be pursued through the University’s UA Operations Manager.

RESPONSIBILITIES:
UA Operator: the operator of the UA is directly responsible for, and is the final authority as to, the operation of that UA. The Operator is responsible for ensuring UA operations complies with federal, state, and local laws as well as this Policy.

Office for Research Protections (ORP): The University shall establish and maintain policy and procedures for safe and compliant use of UA operations on University Property or as part of a University-Affiliated Activity. The ORP will provide oversight of established policies and procedures related to UA operations. The ORP will identify the UA Compliance Course required by this Policy and keep records of all training/certification completed as required by federal, state, and local laws as well as this Policy.

UA Operations Manager: The University shall designate an individual to serve as the UA Operations Manager. The UA Operations Manager shall be responsible for and have authority for approval of all UA Operations conducted at or by the University. The UA Operations Manager shall report to the Associate Vice President for Research, Director, ORP, on matters related to UA operations, and will regularly consult with the Assistant Vice President for Police and Public Safety.
   1. Develop and maintain the University’s UA Operations Manual.
   2. Promote UA operations in support of the University mission that are safe, effective, and efficient.
   3. Ensure that University faculty, staff, and students participating in University UA operations comply with federal, state and local laws, applicable waivers, authorizations or letters of agreement, and this Policy.
4. Serve as the University’s primary point of contact with the FAA for issues relating to use of UA on University Property or as part of University-Affiliated Activity.
5. Ensure compliance with FAA/NTSB reporting requirements.
6. Maintain all required records.

NONCOMPLIANCE:
The University has the right to immediately terminate the operation of a UA if it interferes with campus operations, poses hazards to any person or university facilities, equipment, or other property, or has not received the proper approvals as required by federal, state, and local laws as well as this Policy. Failure to comply with this Policy, the standards set forth in the University’s UA Operations Manual, a UA approved flight plan, or regional, state, or federal law may result in a decision of non-compliance. Non-compliance can lead to the prescription of remediation and/or sanctions, up to and including revocation of the privilege to fly a UA under the auspices of the University or on University Property. Suspected non-compliance shall be handled by the UA Operations Manager and the ORP as described in the applicable standard operating procedures.

FURTHER INFORMATION:
For questions, additional detail, or to request changes to this policy, please contact University Assistant Vice-President for Police & Public Safety or the Associate Vice President for Research and Director of the Office for Research Protections.

CROSS REFERENCES:
AD53 - Privacy Statement
SY04 - Employee Accidents - Reporting and Investigation
SY05 - Persons, Other Than Students or Employees, Who Are Injured or Become Ill on University Property
**Clean Copy**

**Policy Status:** Active

**Policy Stewards:** Assistant Vice-President for Police and Public Safety, and the Associate Vice President for Research and Director of the Office for Research Protections

**PURPOSE:**
To define the requirements for the use of Unmanned Aircraft (“UA”) on property owned or controlled by The Pennsylvania State University (“Penn State” or “University”), or elsewhere for University-Affiliated Activities.

**DEFINITIONS:**
- **Operator:** any person controlling the flight of a UA, whether through the direct operation as a pilot or under the supervision of a remote pilot in command.
- **Restricted Areas:** University Property that the University has deemed too sensitive or unsafe to permit use of UA.
- **Unmanned Aircraft (“UA”):** an aircraft operated without the possibility of direct human intervention from within or on the aircraft.
- **University-Affiliated Activity:** an event, function or activity sponsored by the University, or a University department, organization, or group. This includes research activities conducted under the auspices of the University but does not include activities by recognized student organizations.
- **University Property:** all property owned, occupied, or leased by The Pennsylvania State University. This does not include property that is solely owned, occupied, or leased by Penn State Health and governed by Penn State Health policy.

**USE OF AN UNMANNED AIRCRAFT:**

**A. On University Property**
Use of UA on University Property is prohibited unless the operator is a student, University employee (in the course of their employment), or other individual approved by the University to operate a UA. Approval for all UA operations on University Property must be provided by the UA Operations Manager.

All use of UA on University Property, for any purpose, must abide by the applicable FAA authorization. University students and recognized student organizations may operate a UA on University Property in accordance with FAA regulations for model aircraft (14 C.F.R. Part 101), if they are using the UA for hobby and recreational use only (which can include educational activities conducted as part of a student’s coursework). Note that 14 C.F.R. Part 101 operations must follow a community based set of safety guidelines; thus, when operating on University Property, UA operations under Part 101 must abide by the Academy of Model Aeronautics National Model Aircraft Safety Code (AMA).
Restricted & Altitude Restricted Areas. Use of UA in Restricted Areas, or in violation of the maximum altitude above the ground in Altitude Restricted Areas, is prohibited by all UA operators, for any purpose. Each University campus, in collaboration with the UA Operations Manager, will be responsible for developing and publishing a map identifying Restricted Areas and Altitude Restricted Areas Map for its respective campus. If applicable, space may be deemed a Restricted Area only for particular day and/or times. Access to site specific information will be via https://www.research.psu.edu/UasOperations.

B. For University-Affiliated Activities Not on University Property
Use of UA for University-Affiliated Activities must abide by University policy as well as the rules and regulations governing the area of flight.

REQUIREMENTS FOR ALL OPERATIONS OF UA:
All use of UA on University Property and all use of UA on non-University property by the University, its students and employees, or third party contractors or affiliates for University-Affiliated activities must abide by the following requirements:

1. University UA Operations Manual. All UA operations on University Property or as part of a University-Affiliated activity must be conducted in accordance with the applicable federal, state, and local laws, as well as the University’s UA Operations Manual, which addresses issues such as training, pre- and post-flight procedures, flight logs, safety concerns and flight restrictions.

2. Registration. All UA requiring registration with the FAA must also be registered with the University.

3. Insurance. All registered UA must be insured unless the operation is being conducted by individual students as a model aircraft in accordance with 14 C.F.R. Part 101. Contractor’s evidence of insurance must be provided to and verified by the University’s Risk Management Office. UA operations by student organizations require insurance; however, student organizations are responsible for providing their own insurance.

4. License. Operators must possess and supply their piloting credentials to the University prior to flight. Students operating under 14 C.F.R. Part 101 are not required to possess a remote pilot license, however, they are required to have completed the University’s UA Compliance Course.

5. Safety. Use of UA shall not create an undue hazard to life or property, and they may not be operated in a way which invades privacy, unduly affects the environment of those working within a building, or those entering, exiting or walking around a facility or University Property. The UA must be under the control of the operator at all times.

6. Permissions. UA Operators of UA operations that are part of a University-Affiliated Activity but not on University Property must receive documented permission from the property owner of the property where the UA operations will occur. Such permission shall be provided to the UA Operations Manager upon request.

7. Accident Reporting. All accidents that result in injury or that cause property damage (other than to the UA itself) must be reported to the UA Operations Manager.
within 24 hours. Accidents that result in serious injury or property damage over $500 must be reported immediately. Details on reporting criteria and processes can be found at https://www.research.psu.edu/UasOperations. In addition, all injuries must be reported as outlined in University Policy SY04, Employee Accidents – Reporting and Investigation, and SY05, Injuries to Any Person, And Reporting Incidents Involving Other Than Employees.

8. **Public Venues.** UA may not be operated above public open-air events, inside University athletic and entertainment venues open to the public, or above thoroughfares without prior approval by the University.

9. **Airport.** UA, operating as a model aircraft under Part 101, may not be operated within a 5 mile radius of any airport designated by the FAA, without prior notice by the operator of the UA to the airport operator and air traffic control tower. Site specific information may be found https://www.research.psu.edu/UasOperations.

10. **Third Party Operations.** In addition to the aforementioned requirements, if a University unit arranges for a third party to operate a UA on University Property or for a University-Affiliated Activity,
   a. The unit shall contact the Risk Management Office to ensure that the UA owner and operator has adequate liability insurance and takes the risk mitigation arrangements deemed appropriate.
   b. If a third party will be operating under their own FAA waiver or authorization, the third party will provide copy to the UA Operations Manager for prior approval.
   c. The third party shall provide documentation supporting the operator’s certification and medical readiness.

**EXCEPTIONS:**
Any exceptions or waivers to the FAA regulations on flight or this Policy must be pursued through the University’s UA Operations Manager.

**RESPONSIBILITIES:**
**UA Operator:** the operator of the UA is directly responsible for, and is the final authority as to, the operation of that UA. The Operator is responsible for ensuring UA operations complies with federal, state, and local laws as well as this Policy.

**Office for Research Protections (ORP):** The University shall establish and maintain policy and procedures for safe and compliant use of UA operations on University Property or as part of a University-Affiliated Activity. The ORP will provide oversight of established policies and procedures related to UA operations. The ORP will identify the UA Compliance Course required by this Policy and keep records of all training/certification completed as required by federal, state, and local laws as well as this Policy.

**UA Operations Manager:** The University shall designate an individual to serve as the UA Operations Manager. The UA Operations Manager shall be responsible for and have authority for approval of all UA Operations conducted at or by the University. The UA Operations Manager shall report to the Associate Vice President for Research, Director, ORP, on matters
related to UA operations, and will regularly consult with the Assistant Vice President for Police and Public Safety.

7. Develop and maintain the University’s UA Operations Manual.
8. Promote UA operations in support of the University mission that are safe, effective, and efficient.
9. Ensure that University faculty, staff, and students participating in University UA operations comply with federal, state and local laws, applicable waivers, authorizations or letters of agreement, and this Policy.
10. Serve as the University’s primary point of contact with the FAA for issues relating to use of UA on University Property or as part of University-Affiliated Activity.
11. Ensure compliance with FAA/NTSB reporting requirements.
12. Maintain all required records.

NONCOMPLIANCE:
The University has the right to immediately terminate the operation of a UA if it interferes with campus operations, poses hazards to any person or university facilities, equipment, or other property, or has not received the proper approvals as required by federal, state, and local laws as well as this Policy. Failure to comply with this Policy, the standards set forth in the University’s UA Operations Manual, a UA approved flight plan, or regional, state, or federal law may result in a decision of non-compliance. Non-compliance can lead to the prescription of remediation and/or sanctions, up to and including revocation of the privilege to fly a UA under the auspices of the University or on University Property. Suspected non-compliance shall be handled by the UA Operations Manager and the ORP as described in the applicable standard operating procedures.

FURTHER INFORMATION:
For questions, additional detail, or to request changes to this policy, please contact Assistant Vice-President for Police and Public Safety or the Associate Vice President for Research and Director of the Office for Research Protections.

CROSS REFERENCES:
AD53 - Privacy Statement
SY04 - Employee Accidents - Reporting and Investigation
SY05 - Persons, Other Than Students or Employees, Who Are Injured or Become Ill on University Property

SENATE COMMITTEE ON RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY

- Thomas Andrews
- David Atwill
- Raghu Garud
- Nathan Geiger
- John Hanold
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• Kevin Luhman
• Carleen Maitland
• Siela Maximova
• George Moldovan
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• Neil Sharkey
• Jim Song
• Kayley Swope
• Regina Vasilatos-Younken
• James Warren
• Candice Yekel
• Jong Yun
• Christopher Zorn
COMMITTEE ON ADMISSIONS, RECORDS, SCHEDULING, AND STUDENT AID

Annual Report on the Reserved Spaces Program

(International)

Introduction
"Reserved Spaces" are admission spaces reserved at University Park for eligible first-year students with special needs or talents that cannot be met at Commonwealth Campus locations and whose evaluation indices (EI) do not meet the applicable University Park admission criteria. These students contribute to the educational and cultural life and diversity of the University Park campus.

Information
Table 1 shows the distribution of admissions through the Reserved Spaces program by each EI category. The spaces are organized into three types: Senate Approved, Other Academic, and Administrative. The Glossary at the end of the report describes the groups under each type.

In the past, including students entering up to 2012, the limits or targets approved by the Senate Committee on Admissions, Records, Scheduling and Student Aid applied to fall admissions only. Because of the increased use of spring and summer as the initial term for many of the new incoming students, the allocated reserved spaces for the years following 2012 are reported for a full calendar year.

Table 2 provides limits for each type and group of students and the number of reserved spaces actually used. The graph that follows compares the number of reserved spaces to the total first-year admissions at University Park. On both the chart and graph, for the years 2010-2012, the data refer to fall admissions only. For 2013-2017, actual reserved space use for fall alone and for the full calendar year are shown. In 2017, a total of 226 spaces were used in the spring, summer and fall, constituting 2.75% of the calendar year admissions.

Table 3 shows the proposed reserved space limits for 2017. The spaces utilized by EOP/CAMP have been lower in recent years due to expiration of funding for the College Assistance Migrant Program (CAMP). However, we recommend keeping the current limit in place, as it is anticipated that we will apply for restored funding in the next cycle.

SENATE COMMITTEE ON ADMISSIONS, RECORDS, SCHEDULING, AND STUDENT AID

- Steven Andelin
- Victoria Braithwaite
- Clark Brigger
- Wei-fan Chen
- Anna Griswold
- Harold Hayford, Vice Chair
- James Jaap
- Robert Kubat
- Maura Shea
- Shuang Shen
- Jake Springer
- Darryl Thomas
- Mary Beth Williams, Chair
- Douglas Wolfe
**TABLE 1**
RESERVED SPACES BY ADMISSION CATEGORY - SPRING, SUMMER, FALL 2017
UNIVERSITY PARK

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## TABLE 2
RESERVED SPACES - 9 YEAR COMPARISON
UNIVERSITY PARK

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Bar chart showing the number of reserved spaces used compared to total first-year admission to University Park by year from 2010 to 2017.

The years 2010 to 2012 reflect fall only, with 200 of the 5898 first year admissions in 2010 and 240 of the 6020 first-year-admissions in 2012 admitted via reserved spaces.

TABLE 3  
Proposed Reserved Spaces Limits for 2017

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<td><strong>95</strong></td>
</tr>
<tr>
<td>Other Academic</td>
<td></td>
</tr>
<tr>
<td>ROTC Scholars</td>
<td>15</td>
</tr>
<tr>
<td>Admissions Review Committee</td>
<td>75</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td><strong>90</strong></td>
</tr>
<tr>
<td>Administrative</td>
<td></td>
</tr>
<tr>
<td>Athletes</td>
<td></td>
</tr>
<tr>
<td>Varsity Sports</td>
<td>140</td>
</tr>
<tr>
<td>Team Sports</td>
<td>5</td>
</tr>
<tr>
<td>Blue Band</td>
<td>10</td>
</tr>
<tr>
<td>VP&amp;D</td>
<td>10</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td><strong>165</strong></td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>350</strong></td>
</tr>
</tbody>
</table>
**Arts and Architecture Talent Review:**

The College of Arts and Architecture recommends up to ten exceptionally talented freshman applications for admission to the Architecture and Landscape Architecture programs each year. Applicants interested in pursuing special talent admission are required to submit a representative portfolio of their creative art work relevant to architectural studies, which will be reviewed by the appropriate faculty. Portfolios are being accepted between January 1 and February 15.

**Admissions Review Committee:**

Individual student appeal of an admissions decision based upon additional information, credentials, or extenuating situations that were not considered in the initial decision.

**Educational Opportunity Program (EOP):**

Spaces reserved to provide access and retention to low-income Pennsylvania students. Student may not meet regular admission criteria for his or her selected campus. Student must meet financial guidelines established by the Pennsylvania Department of Education for low income families. Decisions are made in the Undergraduate Admissions Office in collaboration with the Office of the Vice Provost for Educational Equity.

**College Assistance Migrant Program (CAMP):**

Reserved spaces for students accessing Penn State through the College Assistance Migrant Program (CAMP), a federally funded program designed to assist first-year college students from migrant and seasonal farm worker families pursue higher education. Decisions are made in the Undergraduate Admissions Office in collaboration with the Office of the Vice Provost for Educational Equity.

**Vice President and Dean for Undergraduate Education:**

Final level of appeal for an admission decision based upon extenuating circumstances, additional information, changes in credentials, etc. not considered in prior decisions.
SENATE COMMITTEE ON ADMISSIONS, RECORDS, SCHEDULING, AND STUDENT AID

Update on LionPATH Implementation

(Informational)

The Senate Committee on Admissions, Records, Scheduling, and Student Aid (ARSSA) was charged with providing Faculty Senate with an update on the implementation of the LionPATH student information system. ARSSA invited the LionPATH Development and Maintenance Office (LDMO) and the LionPATH Governance Committee, who work together and are most expert in the current status of LionPATH implementation, to answer the following questions for this report:

1 – What is the long-term vision and strategy for LionPATH as the student information system, and thus enabling technology, that facilitates the academic and administrative processes to help students progress through their programs?

2 - Integration of LionPATH with a number of other technologies (for example, a new bulletin, Canvas, Starfish, a learning outcomes program) are in process or are envisioned. Please tell us a little about progress, plans, and challenges for these.

3 - Stakeholders were asked for input on LionPATH, and more specifically about what processes are most tedious. Can you share with us how these are being addressed, especially as they relate to question 1 above, and what the timeline is for those? What are the pathways available to faculty, students, and staff to communicate ideas, questions, concerns about LionPATH?

4. Finally, information on missions of the governance team and the LDMO, how these interface, and how stakeholders are being engaged.

Below is the report from the LDMO and Governance Committee in response to this request.

Introduction

Project LionPATH officially kicked off in February 2014 and transitioned into the LionPATH Development and Maintenance Office (LDMO) as of February 1, 2017. During the deployment phase from September 2015 through December 2016, the LionPATH implementation followed the student lifecycle from admissions through financial aid and registration to billing and finally grade reporting and graduation.

While the project hit all of its major deadlines, the enormity of the effort resulted in some bumps and certainly disrupted normal business processes in a way that often left staff uncertain as to how to conduct routine transactions in the student information system. Despite these challenges, it is important to acknowledge that we successfully processed 108,262 applications for admission...
during the first year. In addition, during academic year 2016-17, 108,124 unique students successfully registered for classes using LionPATH.

Since February 2017, the LDMO has focused on overseeing system operation as well as completing key development items defined within the project and stabilizing existing functionality. Additionally, the LDMO (with guidance from its Governance Committee) is clarifying the processes associated with supporting the system long-term. This report addresses the philosophy that the Governance Team and LDMO jointly are bringing to the ongoing development and maintenance of LionPATH.

**Long-Term Vision and Strategy**

Several working philosophies guide ongoing governance as well as system support and development efforts. These pertain both to development and operations.

First and foremost, key functional offices (e.g., Admissions, Bursar, Student Aid, Registrar) and the Governance Committee—not the software itself—drive business process, user education, communication and system direction. The functional offices lead in determining how to improve system usage, to identify where process changes are needed, and in recommending or approving modifications to the core software.

Having made a sizeable investment in this product, Penn State should leverage delivered PeopleSoft functionality as much as possible to meet operational and academic needs. It is incumbent upon decision-makers to look for ways to use delivered functionality to effectively manage student- and academic-related processes. This does not imply that Penn State simply should rework any and all business processes to fit the software, but rather that as changes are discussed, it is important to be aware of if and how the existing system is designed to support the process in question.

The LionPATH Project Charter approved in March 2014 by both the Steering Committee and Executive Committee set out a series of critical success factors including:

*Minimal customization, deploying the system as delivered, as much possible. Change business processes to reflect best practices rather than customizing the software to match the current state.*

This decision references lessons learned over more than 20 years of large implementations of commercial software across higher education. Those who ignore this approach in favor of near-term benefits pay a significant price in the long-term. For example, in 2014 the University of Minnesota presented a paper at the Higher Education Users Group (HEUG) conference for PeopleSoft users entitled, “An $83M Upgrade: Everything But the Kitchen Sink.” The LDMO and Governance Committee are aware of the dangers of continually modifying the software. As new development items are proposed, the LDMO and Governance Committee must evaluate the risks associated with modifying the software versus developing new business processes that align with delivered functionality. The LDMO and Governance Committee consider requests with an
eye to expanding functionality/integration in alignment with strategic efforts while simultaneously trying to minimize system modifications.

Both the Governance Committee and the LDMO also are committed to leveraging LionPATH as a key technology platform. This involves aiding the Penn State community in identifying which of numerous systems supporting student administrative functions is the optimal choice for any specific activity. As Penn State moves toward a world with a plethora of enterprise tools, ensuring that we use the system best suited for specific tasks is critical.

Finally, as the Oracle Campus Solutions product evolves, we are committed to adopting newly available software options to improve the user experience for not only students, but for staff and faculty as well.

Integration of LionPATH with Other Solutions

LionPATH currently supports approximately 135 integrations including 87 outbound interfaces. These range from web services that exchange data with the Central Person Registry (CPR), tight integrations with third-party products such as CashNet (payment system), CollegeNet, and Schedule Builder, to batch interfaces that push data to such key Penn State systems as the General Ledger in IBIS, eSteward, Canvas, and Starfish. LionPATH also sends voluminous batches of data to colleges, the World Campus, Student Affairs, and many other units. Finally, LionPATH receives data from a broad array of sources both internal and external to the university, including agencies associated with state and federal financial aid, and law and medical admissions applications systems.

By the completion of Project LionPATH in January 2017, the majority of the initial interfaces required to support major functions across the University were in place. However, given that not all functionality and/or data fields were fully defined through the implementation stage as a whole, interfaces have continued to be a focus of considerable rework. The project team could not always anticipate how processes, yet to be in operation, would impact the data. In addition, fully understanding the data model and explaining that model to data consumers was both time-consuming and difficult. As a result, users encountered many mistakes at the outset. An example familiar to faculty was that late-dropped students showed on Canvas class rosters.

LDMO challenges around interfaces lie in two areas:

1) the sheer volume of requests for clean-up and modifications that users are requesting as they come to understand the data better

2) the continual requests that arrive as units first purchase systems and then notify the LDMO that an interface with LionPATH is on the critical path for their project’s completion

Internally, LionPATH is creating several checklists pertaining to typical options we have for enhancement and data requests - options for handling interfaces, notifications, etc. These should help ensure that we have the appropriate conversations with data requestors and can identify optimal solutions to address their true needs earlier in the process.
The other challenge suggests a need to involve data sources as software purchases are being considered. This would aid greatly in planning for our workload as well as in meeting customers’ deadlines.

In August 2017, at the Provost’s request, the Governance Committee surveyed colleges and functional units as to which processes they found most time-consuming in LionPATH especially as compared to how these processes were designed in ISIS/eLion. The LDMO compiled the list and aggregated related requests into blocks. In keeping with the Provost’s request, the Governance Committee prioritized the list to emerge with a “Top Ten.” The actions required to address these items ranged from policy and process changes to system modifications and additional training. All of the items involved a number of different actions and most required discussions with key functional offices and their constituents. The group identified a leader who will follow up on each topic.

The list, issue description, topic leaders, and follow-up actions are detailed at http://lionpathsupport.psu.edu/upcoming-changes/upcoming-lionpath-activities/. A summary of those items is included as Appendix A.

The LDMO has already begun work on several of these items. In each case, there are multiple action steps involved in the response (see Appendix A).

**Governance**

The LionPATH Governance Paper Draft V.7 defines the Governance Team’s charge, their responsibilities and those of the LDMO. That document is attached to this report. Members include representatives from key functional offices who have responsibility for managing processes support by LionPATH as well as two faculty members representing ACUE and ACGE.

The Governance Team convenes weekly to review LionPATH-related issues as well as enhancement requests that can be submitted by anyone at Penn State via an enhancement request form available through the LionPATH Support website. The LDMO Team is responsible for an initial review of these requests to ensure that the request itself is: 1) sufficiently well-defined that it can be reviewed, 2) within the scope of LionPATH functions, 3) not a restatement of another current request before passing, and 4) requiring sufficient effort (>100 hours LDMO work) to merit review by the Governance Committee. The Governance Committee and LDMO management worked together to define a review process which is included in this document as Appendix B. As the group receives many requests pertaining to various functional processes, the work of prioritization is frankly challenging.

In addition, the LDMO Director produces a weekly digest of LDMO activity highlighting team accomplishments including the bi-weekly releases of new fixes and functionality, application of new functionality from the vendor, ongoing activities, issues, and key upcoming dates. These updates are available to the broader community through the LionPATH Support website. The Provost also receives a monthly report to share with the Faculty Advisory Committee.
The Governance Committee also maintains an association with a Communications Committee that includes representatives from key functional offices. This is critical as most communication is driven by the functional process owners, rather than the LDMO.
LionPATH by the Numbers

System Availability and Up-time

LionPATH has consistently been available 24X7 except for maintenance windows of 5 am to 7 am on Thursdays and for an upgrade of our technical tools from noon November 24th through 9:00 am, November 25th.

Users

- Number of LionPATH users
  - Faculty role: 10,785
  - Student role: 173,760
  - Staff role: 8,292
  - Authorized payer users: 57,554
  - Delegated Access users – 47,683
- Number of users at midnight on a peak registration day – 9,966
- Peak usage – over 64,000 on August 21st of which 35% accessed the system via a Mobile device or tablet
### Appendix A. Most Painful Manual/Time-Consuming Processes (aka “TOP TEN”)  

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>Status</th>
<th>Next Steps</th>
<th>Last Updated</th>
</tr>
</thead>
</table>
| **Transfer Credit**  
UAO – Amanda Maxson | • Concerns from admission evaluation through advising and graduation.  
• Timely posting of transfer credits to the student record can impact students academic progress status for student aid and can impact the awarding of additional federal student loan eligibility if the transfer credits result in a student increasing grade level  
• Loan amounts increase as students increase as student progresses to the next grade level. | • Transfer Credit Working Group (TCWG) met to respond to draft report. Penny Carlson redrafting report with goal of resubmitting the report for final committee review prior to submission to Dr. Pangborn.  
• Knowledge transfer to LDMO underway  
• PEN to GEN “flip” on Oct 5th updated ~1500 student records  
• Investigating possibility of improvements to transfer articulation system (TAS) display of data  
• Working to merge schools with multiple campuses/one course | • Successful PEN to GEN “flip” on 6-Dec-17  
• TCWG finalized priority list and are updating/submitting enhancement requests to LDMO  
• Bi-directional interface overhauled and moved to Production on 14-Nov-17. This automates the updating of new course evaluations and student records with those courses | 7-Dec-17 |
| **Prerequisite Checking**  
OUR - Bob Kubat | Enforced prerequisites were rolled out to a couple of colleges as a pilot and PERC (Post Enrollment Requirement Checking) process can be run at any time | Requested enhancement to add campus as search criteria on PERC rosters.  
Working with SC and IST to start PERC processes for fall into spring  
Communications to students has been finalized | IST-DS has been implemented for Summer 2018. Waiting for SRA to move through Curricular Affairs College of Science – query moved to Production | 6-Dec-17 |
| **Graduation Processing**  
DUS – David Smith & DUS | • Tracking, Checkout, Review, Degree Conferral  
• Partially related to the “new” process of approving students to graduate | • Meeting scheduled for Nov 9th to discuss what works and what doesn’t, training issues, possible process changes, recommended system enhancements | • Met with College representatives  
• Requested a meeting with LDMO to discuss College enhancements | 6-Dec-17 |
| **Degree Audits**  
OUR – Karen Henninger | Audits are extremely complicated and there is a lot of programming behind the scenes; issues cited include too many clicks/pages required to find data, to make substitutions, or do other editing  
• How do we present readable/understandable to students?  
• What system is the right one for each task?  
• Decisions need to be made | • Waiting for one last college to name a representative | Met with College representatives  
Requested a meeting with LDMO to discuss College enhancements | 6-Dec-17 |
| **Leaving the University**  
OUR – Tryphena Miska | Withdrawal  
• When an Active student decides to leave the University  
• When an Active student with enrollment and disbursed aid decides to leave the University | • OUR has created a list of processes to automate withdrawals | • Meeting scheduled for 7-Dec-17 with Valerie (from the Bursar) and Melissa (from Student Aid) to discuss a process | 6-Dec-17 |
| **Academic Standing**  
DUS – David Smith  
OUR – Bob Kubat | • Concerns include preparation, corrections, and validation of student records.  
• Broad issues beyond LionPATH functionality, decisions need to be made | • OUR is working with the LDMO RAD team to review the manual processes that can be automated  
• ACUE continues to refine processes across colleges and campuses | • Group continues to meet on the process to be prepared to suspend and cancel students between fall and spring semester | 6-Dec-17 |
<table>
<thead>
<tr>
<th><strong>User Experience</strong></th>
<th>Issues cited include:</th>
</tr>
</thead>
<tbody>
<tr>
<td>LDMO – Deb Simpson</td>
<td>• Insufficient search parameters;</td>
</tr>
<tr>
<td></td>
<td>• Too many clicks/pages required to find data;</td>
</tr>
<tr>
<td></td>
<td>• Default values on pages</td>
</tr>
<tr>
<td></td>
<td>• Data in other systems that doesn’t match LP</td>
</tr>
<tr>
<td></td>
<td>• User Experience improvements in development, expected release Jan 2018 for updates to public lionpath.psu.edu, delegated access, and authorized payer.</td>
</tr>
<tr>
<td></td>
<td>• LDMO learning about new search tool delivered with 8.56 tools</td>
</tr>
<tr>
<td></td>
<td>• Writing functional specification for iCal schedule download for students</td>
</tr>
<tr>
<td></td>
<td>• Continuing to add useful descriptions to Queries</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Duplicates &amp; Merges</strong></th>
<th>The existence of multiple IDs for a single person is an ongoing issue that raises concerns for reporting, compliance, and customer service. Resolving these is now an entirely manual process shared across numerous functional offices.</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISO – Keith Brautigam</td>
<td>A working group, led by OIS, is working in business process and ownership. LDMO is working on automating parts of the process with help from various functional offices, project manager assigned to coordinate the cross-functional testing group.</td>
</tr>
<tr>
<td></td>
<td>Testing of automated merge processing</td>
</tr>
<tr>
<td></td>
<td>Working on reference document for meeting with EI&amp;O on Dec 11th</td>
</tr>
<tr>
<td></td>
<td>Need to finalized business process for handling merges, identify user and security required</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Notifications of Changes</strong></th>
<th>Diverse requests for notifications from LionPATH; Waitlist and swap notifications were frequently requested.</th>
</tr>
</thead>
<tbody>
<tr>
<td>LDMO – Tim Radio</td>
<td>• Concerns about students or staff being overwhelmed with emails/notices</td>
</tr>
<tr>
<td></td>
<td>• Enhanced framework for alerts/notifications available in Campus Solutions9.2 (after upgrade)</td>
</tr>
<tr>
<td></td>
<td>• Further investigation needed to see how existing systems work together (Canvas, Starfish, …)</td>
</tr>
<tr>
<td></td>
<td>• LDMO Team members exploring PeopleSoft Notification Framework. Wait List notifications likely first usage</td>
</tr>
<tr>
<td></td>
<td>• Further research and follow-up consultation with stakeholders is required.</td>
</tr>
<tr>
<td></td>
<td>• Crossover with User Experience communications matrix</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>National Student Clearinghouse Processing/Reporting</strong></th>
<th>The National Student Clearinghouse received data from schools about students enrollment status, anticipated graduate date and degree program. The CH reports the school data to the National Student Loan Data System (NSLDS) as required by federal Title IV regulation. Accurate reporting is important in determining whether a student should be placed into a repayment status for their federal student loans or whether they are eligible for interest subsidy based on their degree program.</th>
</tr>
</thead>
<tbody>
<tr>
<td>OSA – Cindy Heaton &amp; OUR – Kaitlyn Roberts</td>
<td>OSA and OUR working on this issue</td>
</tr>
<tr>
<td></td>
<td>Scheduling a meeting to review a student track as we need to see what row the data is being pulled onto the NSC monthly report</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Leaving the University</strong></th>
<th>Discontinuation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Particularly common for World Campus/adult learners</td>
</tr>
<tr>
<td></td>
<td>• Concerns including timing, forms, and fee-waiving for re-enrollment</td>
</tr>
</tbody>
</table>
NOTES: Functional offices will remain in close consultation on any requests.

1. **Analysis**
   - LDMO analysis includes determining if there is a solution possible, if a modification is already in progress, if functionality already exists, if the request abides by University policy, if there is sufficient information, etc. This review will determine clarity of detail provided, approval of the "owner" of related functionality, impacts on other modules/functionality in LionPATH, strategic impact, risk to University, impact on users, etc.
   - Consider current LDMO and functional office work load and prioritization.

2. **100 hrs**
   - Current threshold dividing "small" and "large" projects for the LDMO. Only includes estimate of LDMO work, not functional offices. "Small" projects are not automatically approved or prioritized, they simply do not require Governance Committee approval at this point.

### Queries
- **3. Queries**
  - External queries go through ServiceNow
  - Internal queries can go directly into Phire
  - All queries (no matter who writes them) must have accurate, complete, and helpful Short and Long Descriptions

### Phire
- **4. Phire**
  - Refers to standard Phire progression through development, testing, migration, approvals, etc. (additional flow)

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**Functional Team Analysis**

- **1.** Analysis
  - LDMO analysis includes determining if there is a solution possible, if a modification is already in progress, if functionality already exists, if the request abides by University policy, if there is sufficient information, etc.
  - This review will determine clarity of detail provided, approval of the "owner" of related functionality, impacts on other modules/functionality in LionPATH, strategic impact, risk to University, impact on users, etc.
  - Consider current LDMO and functional office work load and prioritization.

- **2. 100 hrs**
  - Current threshold dividing "small" and "large" projects for the LDMO. Only includes estimate of LDMO work, not functional offices. "Small" projects are not automatically approved or prioritized, they simply do not require Governance Committee approval at this point.
Description of figure depicting the process for requesting LionPATH changes/enhancements

The process initiates when an enhancement request is submitted by a requestor, or a service request is submitted by a requestor.

These requests are analyzed to determine if the LDMO is able to consider them. Analysis includes determining if there is a possible solution, if a modification is already in progress, if functionality already exists, if the request abides by University policy, if there is sufficient information, etc. This review will determine clarity of the detail provided, approval of the “owner” of related functionality, impacts on other modules/functionality in LionPATH, strategic impact, risk to University, impact on users, etc. Also considered is the current LDMO and functional office work load and prioritization.

If the request is unable to be considered, this feedback is provided to the requestor. If the issue is able to be considered, the team defines the type of issue: is it a bug/tweak, a query, or an enhancement request to LionPATH? The work flow based on that analysis determines the next steps:

Enhancement requests are evaluated by the LDMO to determine the size of the project, defined by the number of hours required to do the work. If less than 100 hours, the task is entered into the queue. If it will take more than 100 hours, prior approval is sought from the Governance Committee. (if approval is not obtained, the enhancement is declined and the original requestor is informed) New enhancements are moved into the queue for development, testing, migration, and approval, etc.

Query requests are evaluated to determine if there is an existing query to address the issue (which is then shared), or if a new query needs to be written. New queries are entered into the queue for development, testing, migration, and approvals.
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LionPATH Governance

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Preamble

As the official student information system at Penn State, LionPATH not only provides students with access to their academic and financial records, but it also delivers to the wider university community critical functionality as well as data to support student success. Given the importance of the student information system to creating a seamless environment for technologies that support student success initiatives, the LionPATH Governance Committee is charged with shaping a broad vision and direction for the development and maintenance of LionPATH as a core component of Penn State’s strategic goal of transforming education. The LionPATH Governance Committee will encourage collaboration and effective partnering across the University to develop a system that enables student success. This guiding principle recognizes that several key functional areas are vital to the health of the student information system, but that as Penn State moves forward with the strategic goal of transforming education, other areas of the University may need to be included in the Governance Committee to better align development with emerging goals of the institution. As a whole, the Governance Committee has a vested interest in promoting student success and will play a leading role in aligning the strategic vision of transforming education into the ongoing development of a robust student information system.

Overview

In launching an enterprise-level project for the implementation of a new student information system, LionPATH, in XXXX, the stated vision was to develop a “new, student-centered information system [that] would foster transformative thinking, increased efficiency, and agile delivery of excellent and consistent services to Penn State students, faculty and staff.” The formal cutover to LionPATH as the official student information system occurred in XXXX. With implementation completed, guidance to help the system fully reach its broad vision is the main task of the Governance Committee. Through the ongoing development and maintenance of the system, the aim is to better ensure that LionPATH is positioned to be a core component of robust strategic planning and data-informed decision-making across the University that will enable student success.

Guiding Principles

- Provide easy, consistent, and well-supported electronic access to the data and information necessary for students, faculty, and staff to perform and manage their functions
- Maximize the use of new, secure SIS (student information system) self-service functionality
- Aggressively and collaboratively develop common student processes and data across all of Penn State, while still supporting the unique needs of campuses and colleges
- Make informed decisions through the development of easy-to-use management reporting processes and technology
- Use data and information as a strategic asset that is commonly defined, electronically captured at its point of origin, and appropriately shared across the University
- Provide parents/other access to student information with the student’s authorization/permission.
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- Provide parents/students access to billing and financial aid information needed to pay tuition.
- Provide former students access to information and services they need related to their academic and financial record.

LionPATH is based upon collaboration. The LionPATH Development and Maintenance Office (LDMO) agrees to promote the overall purpose and design of LionPATH to accommodate and satisfy the needs of the constituents. LionPATH is managed by the LDMO Director through a series of collaborative teams that strive to meet the common good of the University’s students, advisers, administrative offices, faculty, and related business responsibilities.

**LionPATH Executive Committee**
The members of the Executive Team are appointed by the Provost, and responsible to make strategic and major budgetary decisions for the LDMO.

- Senior Vice President for Finance and Business (co-chair)
- Executive Vice President and Provost (co-chair)
- Enterprise Project Director, (ex officio committee member)
- Corporate Controller
- Vice President for Information Technology and Chief Information Officer (CIO)
- Vice President & Executive Chancellor for Commonwealth Campuses
- Vice President and Dean for Undergraduate Education
- Vice President for Student Affairs
- University Budget Officer
- Vice Provost for Graduate Education and Dean of The Graduate School
- Vice President for Outreach and Vice Provost for Online Education
- Vice Dean for Educational Affairs, College of Medicine
- Vice Provost for Planning and Assessment
- Chair of the LionPATH Governance Team

**LionPATH Governance Team**
The members of the Governance Team are appointed by the LionPATH Executive Committee and were the former LionPATH Steering Committee. The chair will be appointed by the Executive Committee for a 2-year term. The Governance Team is specifically charged with the following responsibilities:

1. To facilitate the LionPATH mission
2. To review regular reports from the LionPATH Development, Maintenance and Operations (LDMO) Team for bundles, upgrades, enhancement requests
3. To approve or deny and prioritize enhancement requests sent to or recommended by the LDMO Team for changes to Campus Solutions
4. To provide guidance to the LDMO
5. To provide guidance on communication to the University community
6. To report to the LionPATH Executive Committee
Membership:
Membership consists of the senior administrator or designated appointee from each stakeholder office. The Faculty Senate will appoint a Faculty Senator for a 2-year term (recommend a past or current member of ARSSA or UE).

Representatives:
- Advisory Committee for Graduate Education (ACGE) Representative
- Administrative Council on Undergraduate Education (ACUE) Representative
- Budget Office
- College of Medicine
- Division of Undergraduate Studies
- Enterprise Infrastructure and Operations (EIO)
- Faculty Senate Representative
- LionPATH Development and Maintenance Organization
- Office of Planning and Assessment
- Office of Student Affairs
- Office of Student Aid
- Office of the Bursar
- Office of the University Registrar
- Office of the Vice President for Commonwealth Campuses
- Outreach and Online Education
- The Graduate School (2 members)
- Undergraduate Admissions Office

Meetings:
The Governance Team will meet weekly (and cancel if there are no items for discussion) to review progress and reports of new functionality requests or requirements on LionPATH, provide guidance and direction as needed to ensure the mission and vision for LionPATH, and monitor the strategic direction of LionPATH. The Governance Team may invite any individuals to serve as resource members (non-voting) for defined periods of time.

Advisory and Ad-hoc Committees:
Faculty, Academic Advising, Student Advisory and/or Ad-hoc Committees will provide consultation regarding policy changes and system implementation issues, on an as-needed basis, to the Project LionPATH Steering Committee and the Project LionPATH Team. Members of the advisory committees will be liaisons for the organizations they represent.
**LDMO**
The LDMO will maintain frequent liaison with central offices, colleges and campuses, and will as needed support necessary training initiatives. The LDMO oversees the technical management of LionPATH and is specifically charged with the following responsibilities:

1. Make recommendations for changes to the LionPATH Organization and Governance Document.
2. Receive requests for new or revised LionPATH enhancements and send those above the threshold for requiring approval on to the LionPATH Governance Team.
3. Coordinate and provide continuity of collaborative communication with respective parties.
4. Determine and conduct necessary pre-development and pre-production review of all new and changed enhancements to ensure functionality on LionPATH.
5. Conduct periodic review of LionPATH to ensure overall integrity of the system and its applications, including, when applicable, the use of measurement and assessment tools, focus groups, surveys, and end-user feedback to recommend the need for modification of existing applications. Report status and finding of the periodic reviews to the LionPATH Governance Team.
6. Maintain general HTML pages that are not application-specific, including the LionPATH home page.
7. Identify and resolve LionPATH operational problems.
8. Maintain an environment conducive to optimizing the integration and collaboration with other systems supporting Penn State administrative functions.
9. Coordinate the timing of code and configuration changes as well as the application of vendor updates (bundles) to LionPATH.
10. Promote the concept of reusability of code, for example real-time integrations.
11. Periodic review of security procedures and adherence to university policies.
12. Review new Campus Solutions bundles and upgrades for determining implementation. Consult with the LionPATH Governance committee as appropriate.

**LionPATH Project Request Process Flow**

Requests for improvements, enhancements, necessary fixes, production support can originate from any individual, office or entity. Each request will be vetted by the appropriate functional office to avoid duplication and to assess the value (high, medium, low) related to a number of factors in the priority worksheet. After initial assessment by a functional office, the request will then be assessed by the LDMO to consider the workload, costs, return, etc., (high, medium, low) related to a number of factors in the priority worksheet. The combination of these assessments will help to inform the Governance Committee of the timing and priority of the request. The proposed workflow is included as an Appendix B of this document.

A list of approved work and a projected timeline will be displayed to the University community on the LDMO website (see below). Until requests are approved, they will be not be displayed to the University community.
Upcoming Changes

The items listed below are currently under development by the LionPATH Development and Maintenance Office (LDMO). They include updates to existing functionality, as well as new items. Suggestions from the University community are taken into consideration, added to the working list, then prioritized. This list will be updated weekly.

<table>
<thead>
<tr>
<th>ID</th>
<th>DEVELOPMENT ITEM</th>
<th>DATE NEEDED</th>
<th>RELATED MODULE</th>
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<td>1/30/2017</td>
<td>Academic Advising</td>
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<td>Course Catalog: display one line per course</td>
<td>2/10/17</td>
<td>Academic Advising</td>
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Appendices

Appendix A: LDMO Organization Chart

Appendix B: LDMO Proposed Development Item Review Flow

Appendix C: Division of Duties between LDMO and functional offices
LMDO Organizational Chart
August 18, 2017

Michael Busges, Director, EPMO has two direct reports: Stephanie Szakel, Director, LDMO and (Vacant) EPMO Operational Support and Communications.

Reporting directly to Stephanie are the following people along with their direct reports:

Melanie Schuster, Sr. Tech Analyst (Sr. Developer). Melanie has the following direct reports: Greg Bishop, Tech Analyst; Eric Helfen, Tech Analyst (Mobile); Kathi Reynolds, Tech Analyst; Bobbi Lucas, Tech Analyst; and (Vacant) Tech Analyst.

Mike Beck, Sr. Tech Analyst (Sr. PS Admin.). Mike has one direct report, Derek Ross, Tech Analyst (PS Admin.)

Chris Ritzko, Sr. Tech. Analyst (Sr. Security Lead) has one direct report, Steve Dunio, Tech Analyst (Security Admin.)

Lynn Yingling, Project Manager, has one direct report, Dawn Van Bramer, Functional Bus. Analyst (Training)


Deb Simpson, Sr. Functional Bus. Analyst (Cross Functional) has no direct reports.

Description of figure depicting the LDMO Proposed Development Item Review Flow

The process initiates when an enhancement request is submitted by a requestor, or a service request is submitted by a requestor.

These requests are analyzed by LDMO Leadership to determine if the LDMO is able to consider the request. Analysis includes determining if they have received enough information to evaluate. If they have enough information, the next step is to determine if the request requires Steering Approval.

If the request does not have enough information to evaluate, the Functional Team will clarify request and effort required. After clarification, it moves on to the next step which is determining if the request requires Steering Approval.

If the request does not require Steering Approval, a decision is made by LDMO Leadership. If the request is unable to be considered, LDMO Leadership will provide notification to the requestor. If the request is approved, they send to the Functional Team to prepare the SPEC/DO then onto PHIRE Change Workflow. LDMO Leadership will provide approval notification to the requestor.

If the request does require Steering Approval, it moves to the steering for review. If the request is approved, it moves back to the LDMO leadership for approval. LDMO Leadership will respond to the requester of approval/denial.

If the request is unable to be considered, LDMO Leadership will provide notification to the requestor.
**Division of Duties**

Below we have outlined regular tasks that need to be handled for each functional area/module. Throughout the go-live process, some tasks have naturally migrated from the Project to the functional offices. Some items were already in transition from the Project staff to functional office staff, while others are aspirational and will require the LionPATH Development and Maintenance Organization (LDMO) to train functional office staff.

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**Admissions**

**LDMO**

- Watch Process Monitor
  - Ensure all Undergraduate Admissions (including Transfer) processes kick off on time/as appropriate
  - Analyze and fix processes when they break/No Success
- Second-tier support
  - Assist functional office staff with troubleshooting
- Maintain UPK/BPG/Service Desk Knowledge Bank and Configuration Guides
  - Requires policy/practice input from functional office
- Write, test (within reason), and migrate Queries
- Approval of user-generated/functional office Queries
- Enhancements/new development
  - Liaise with UAO to identify details of request
  - Write the functional spec, confirm with UAO
  - Work with LDMO developer through details
  - Coordinate testing at LDMO and with UAO
- Non-development Work
  - Handle set up changes and new configuration (including but not limited to SARs, Test IDs, Test Components, Recruiting Categories, Service Indicators, Region Tree, ...)
  - Coordinate across Careers/modules
• Build/Re-build Jobsets, tweak Queries and QBU, coordinate with Control-M, make changes to File Parser, etc.
• Handle complicated merges – those with more than just Admissions data (for now; working towards some automation)
• Work with functional offices/Data Stewards on Security change requests (navigation, new Roles or Groups)
• Attend regular meetings with the functional office
• Stay up-to-date on PeopleTools and Campus Solutions Updates
  • Complete Bundle Testing
  • Communicate changes
  • Research, explore, and evaluate value of un-/under-utilized delivered features like WorkCenters
  • Submit Oracle Service Requests

**Undergraduate Admissions Office (UAO)**

• First Tier support for processes
  • Troubleshooting (to the extent possible with Security access)
  • Review daily job errors
  • Answer user questions about how to accomplish daily tasks/business practices
    • Facilitate New User training, with materials and/or instance support from LDMO
• Request, (potentially write) and test Queries
• Enhancements/new development
  • Submit thought-out request
  • Assist in spec’ing out updates/changes
  • Work with LDMO on testing
• Handle simple merges – those with data only in this Module
• Monitor and fix app Staging Errors (unknown orgs, CPR errors, fixing data entry/integrity errors, …)
• Monitor and fix app maintenance errors (invalid SARs, incorrect intended Plan/Subplan, …)
• Maintain Communication tools
  • CommGen letter templates, MPC liaison
  • MPS Message Catalog and Criteria
  • WCS Messages and “active” Terms
• Set up and maintain Evaluation modifications
  • Carnegie Units Tables
  • Hold Tables
  • Offer Tables
  • Notification Plan Dates
  • EI Coefficients
  • EI Factors
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• EI Formula
  • Identify populations for mass SAR updates, query, test, and execute
  • Work with LDMO on Security change requests (navigation, new Roles or Groups, approving row-level security)

Graduate
The Grad School has LP-specific Business Analysts who are responsible for many tasks generally viewed as LDMO tasks elsewhere in this document, as well as those generally handled by functional offices.

Law Schools
There is not much done on the Admissions side with either Law Career. The “Super Users” at each campus load their own apps and handle any standard errors. When there is an issue they cannot solve, they submit a ServiceNow ticket, which means the LDMO would handle.

Medical
There is not much done on the Admissions side with either Medical Career. The “Super Users” have handled app loads and any standard errors. When there is an issue they cannot solve, they submit a ServiceNow ticket, which means the LDMO would handle.

Student Records

LDMO
• Watch Process Monitor
  o Ensure all Records processes kick off on time/as appropriate
  o Analyze and fix processes when they break/No Success (including by not limited to lopover mod, GradesFirst, Jump Forward, ...)
• Second-tier support
  o Assist functional office staff with troubleshooting
• Maintain UPK/BPG/ Service Desk Knowledge Bank and Configuration Guides
  o Requires policy/practice input from functional office
• Write, test (within reason), and migrate Queries
• Approval of user-generated/functional office Queries
• Enhancements/new development
  o Liaise with OUR to identify details of request
Appendix C

- Write the functional spec, confirm with OUR
- Work with LDMO developer through details
- Coordinate testing at LDMO and with OUR

- Non-development Work
  - Handle set up changes and new configuration (including but not limited to ...)
  - Coordinate across Careers/modules
  - Build/Re-build Jobsets, tweak Queries and QBU, coordinate with Control-M, make changes to File Parser, etc.

- Handle complicated merges – those with more than just Records data (for now; working towards some automation)

- Work with functional offices/Data Stewards on Security change requests (navigation, new Roles or Groups)

- Attend regular meetings with the functional office

- Stay up-to-date on PeopleTools and Campus Solutions Updates
  - Complete Bundle Testing
  - Communicate changes
  - Research, explore, and evaluate value of un-/under-utilized delivered features like WorkCenters
  - Submit Oracle Service Requests

Office of the University Registrar (OUR) / Functional Offices (GRAD, MED, LAW(s), DUS ...)

- First Tier support for processes
  - Troubleshooting (to the extent possible with Security access)
  - Review daily job errors
  - Answer user questions about how to accomplish daily tasks/business practices
    - Facilitate New User training, with materials and/or instance support from LDMO

- Request, (potentially write) and test Queries

- Enhancements/new development
  - Submit thought-out request
  - Assist in spec‘ing out updates/changes
  - Work with LDMO on testing

- Handle simple merges – those with data only in this Module

- Work with LDMO on Security change requests (navigation, new Roles or Groups, approving row-level security)

- Monitor Update Academics, Update Campus, College Scheduler/Schedule Builder, Student Groups, ...
Intercollegiate Athletics

- Maintain Athletic Participation pages
- Athletic Compliance & Designated non-UP staff carry out day-to-day work
- Athletic Compliance, Campus AD’s, and possibly other athletics staff make Updates to team rosters/participation info
- Athletic Compliance at UP does “lopover” (i.e., mod to increase Terms in Residence)
- Morgan Center is responsible for GradesFirst

Academic Advising

- Watch Process Monitor
  - Ensure all Advising processes kick off on time/as appropriate
  - Analyze and fix processes when they break/No Success (including by not limited to Degree Audit What-if Report, Exceptions, Repeats, Starfish, Adviser Assignment, New Student Orientation, ALEKS, Educational Planning Survey, ...)
- Second-tier support
  - Assist functional office staff with troubleshooting
- Maintain UPK/BPG/ Service Desk Knowledge Bank and Configuration Guides
  - Requires policy/practice input from functional office
- Write, test (within reason), and migrate Queries
- Approval of user-generated/functional office Queries
- Enhancements/new development
  - Liaise with OUR to identify details of request
  - Write the functional spec, confirm with OUR
  - Work with LDMO developer through details
  - Coordinate testing at LDMO and with OUR
- Non-development Work
  - Handle set up changes and new configuration (including but not limited to new Gen Eds, Equation Engine, milestones, facilities, ...)
  - Coordinate across Careers/modules
  - Build/Re-build Jobsets, tweak Queries and QBU, coordinate with Control-M, make changes to File Parser, etc.

LDMO

- Watch Process Monitor
  - Ensure all Advising processes kick off on time/as appropriate
  - Analyze and fix processes when they break/No Success (including by not limited to Degree Audit What-if Report, Exceptions, Repeats, Starfish, Adviser Assignment, New Student Orientation, ALEKS, Educational Planning Survey, ...)
- Second-tier support
  - Assist functional office staff with troubleshooting
- Maintain UPK/BPG/ Service Desk Knowledge Bank and Configuration Guides
  - Requires policy/practice input from functional office
- Write, test (within reason), and migrate Queries
- Approval of user-generated/functional office Queries
- Enhancements/new development
  - Liaise with OUR to identify details of request
  - Write the functional spec, confirm with OUR
  - Work with LDMO developer through details
  - Coordinate testing at LDMO and with OUR
- Non-development Work
  - Handle set up changes and new configuration (including but not limited to new Gen Eds, Equation Engine, milestones, facilities, ...)
  - Coordinate across Careers/modules
  - Build/Re-build Jobsets, tweak Queries and QBU, coordinate with Control-M, make changes to File Parser, etc.
• Work with functional offices/Data Stewards on Security change requests (navigation, new Roles or Groups)
• Maintain Communication tools
  • Become proficient with BI Publisher
  • Transcript & Degree Audit PDF Templates (and transfer credit report?)
• Stay up-to-date on PeopleTools and Campus Solutions Updates
  • Complete Bundle Testing
  • Communicate changes
  • Research, explore, and evaluate value of un-/under-utilized delivered features like WorkCenters
  • Submit Oracle Service Requests

**Office of the University Registrar (OUR)**

• First Tier support for processes
  o Troubleshooting (to the extent possible with Security access)
  o Review daily job errors
  o Answer user questions about how to accomplish daily tasks/business practices
    ▪ Facilitate New User training, with materials and/or instance support from LDMO
• Request, (potentially write) and test Queries
• Enhancements/new development
  o Submit thought-out request
  o Assist in spec’ing out updates/changes
  o Work with LDMO on testing
• Degree Audit
  o Primary responsibility for coding, exception entry support, troubleshooting, and training
  o Running and distributing batch audits
• Work with LDMO on Security change requests (navigation, new Roles or Groups, approving row-level security)

**Starfish Team**

• Receive data and import into Starfish
• Responsible for security/access (i.e., Instructor/Advisor Table)
• Support end users
• Act as primary communicators with Starfish (vendor)
• Enhancements/new development
  o Submit thought-out request
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- Assist in spec’ing out updates/changes
- Work with LDMO on testing

**Campuses/Colleges/Departments**
- Adviser Assigners with access carry out day-to-day work
- Enhancements/new development
  - Submit thought-out request
  - Assist in spec’ing out updates/changes
  - Work with LDMO on testing

**Student Orientation and Transition Programs (SOTP) / DUS Team (?)**
- *Is there one home office (SOTP?) office to take the lead on front line support?*
- Receive data and import into VZO scheduling system
- Enhancements/new development
  - Submit thought-out request
  - Assist in spec’ing out updates/changes
  - Work with LDMO on testing

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**Financial Aid**

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**LDMO**

- Watch Process Monitor
  - Ensure all Financial Aid processes kick off on time/as appropriate
  - Analyze and fix processes when they break/No Success (including by not limited to ISIR loads, PASGP, ELM, eSteward, DL file loading, ISIR processing, ...)
- Second-tier support
  - Assist functional office staff with troubleshooting
- Maintain UPK/BPG/ Service Desk Knowledge Bank and Configuration Guides
  - Requires policy/practice input from functional office
- Write, test (within reason), and migrate Queries
Appendix C

- Approval of user-generated/functional office Queries
- Enhancements/new development
  - Liaise with OSA to identify details of request
  - Write the functional spec, confirm with OSA
  - Work with LDMO developer through details
  - Coordinate testing at LDMO and with OSA
- Non-development Work
  - Handle set up changes and new configuration (including but not limited to Equation Engine, external award processing, customizations, ...)
  - Coordinate across Careers/modules
  - Build/Re-build Jobsets, tweak Queries and QBU, coordinate with Control-M, make changes to File Parser, etc.
- Handle complicated merges – those with more than just financial Aid data (for now; working towards some automation)
- Work with functional offices/Data Stewards on Security change requests (navigation, new Roles or Groups)
- Attend regular meetings with the functional office
- Stay up-to-date on PeopleTools and Campus Solutions Updates
  - Complete Bundle Testing
  - Communicate changes
  - Research, explore, and evaluate value of un-/under-utilized delivered features like WorkCenters
  - Submit Oracle Service Requests

Office of Student Aid (OSA)

- First Tier support for processes
  - Troubleshooting (to the extent possible with Security access)
  - Review daily job errors
    - Monitor and fix file staging errors in external awards loading process app
    - Monitor and fix ISIR app errors
  - Answer user questions about how to accomplish daily tasks/business practices
    - Facilitate New User training, with materials and/or instance support from LDMO
- Request, (potentially write) and test Queries
- Enhancements/new development
  - Submit thought-out request
  - Assist in spec’ing out updates/changes
  - Work with LDMO on testing
• Handle simple merges – those with data only in this Module
• Maintain 3C’s and service indicators
  o Run any manual CommGen (those sent on occasion rather than daily in our job/jobset)
  o Establish and maintain Commgen letter templates
  o Manually run new communications to establish working as intended prior to adding to jobs/jobset
  o Bonnie – check if security
  o Maintain checklist, checklist item, and service indicator text
  o Add new checklists, checklist items and service indicators as needed for Student Aid processing changes for federal regulatory changes
  o OSA Message Catalog edits and Criteria
• Set up and maintain **Federally mandated annual verification selections via QBU, checklists, and service indicators**

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**Student Financials**

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**LDMO**

• Watch Process Monitor
  o Ensure all Student Financials processes kick off on time/as appropriate
  o Analyze and fix processes when they break/No Success (including by not limited to Tuition calculation, HigherOne, CashNET, ...)
• Second-tier support
  o Assist functional office staff with troubleshooting
• Maintain UPK/BPG/Service Desk Knowledge Bank and Configuration Guides
  o Requires policy/practice input from functional office
• Train Bursar Technical staff
• Write, test (within reason), and migrate Queries
• Approval of user-generated/functional office Queries
• Enhancements/new development
  o Liaise with Bursar to identify details of request
  o Write the functional spec, confirm with Bursar
  o Work with LDMO developer through details
  o Coordinate testing at LDMO and with Bursar
• Non-development Work
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- Handle set up changes and new configuration (including but not limited to Holiday/shutdown schedule, Service Indicators, Equation Engine, SF Records (table), ...)
- Coordinate across Careers/modules
  - Build/Re-build Jobsets, tweak Queries and QBU, coordinate with Control-M, make changes to File Parser, etc.
- Work with functional offices/Data Stewards on Security change requests (navigation, new Roles or Groups)
- Monitor and fix Table validation errors
- Maintain Communication tools
  - Create / update 3C communications
- Run stand alone Equation Engine
- Responsible for CashNET operator security
- Attend regular meetings with the functional office
- Stay up-to-date on PeopleTools and Campus Solutions Updates
  - Complete Bundle Testing
  - Communicate changes
  - Research, explore, and evaluate value of un-/under-utilized delivered features like WorkCenters
  - Submit Oracle Service Requests

Office of the Bursar

- First Tier support for processes
  - Troubleshooting (to the extent possible with Security access)
  - Review daily job errors
  - Answer user questions about how to accomplish daily tasks/business practices
    - Facilitate New User training, with materials and/or instance support from LDMO
- Request, (potentially write) and test Queries
- Enhancements/new development
  - Submit thought-out request
  - Assist in spec’ing out updates/changes
  - Work with LDMO on testing
- Handle simple merges – those with data only in this Module
- Work with LDMO on Security change requests (navigation, new Roles or Groups, approving row-level security)
- Create and maintain Item Types, Trees, Transaction fees, Course and Class fees, Tuition (including waivers), Cashiering, Refunding, Adjustment calendars, Bill and Due Date calendars, Student Billing set up, Short Term Loan set up (PPL), ...
• Run monthly Late Fee process
• Handle External File Load
• Reconciliation (all)
• Responsible for HigherOne set up and maintenance
  o Email notifications
  o IPP and auto payment plans
  o System set up and maintenance
  o Approve/release billing, refund, and 1098T data
• Term Cancelation - future term due to non-payment
• No show report activity
• Corporate Billing
• Third party contracts

LDMO & Bursar in conjunction:
• Work with Records to resolve tuition calc errors
• Handle complicated merges – those with more than just Financials data (for now; working towards some automation)
• Term rollover activities
• 1042S
• 1098T Processes
• CashNET portal student/parent message/text updates
ELECTIONS COMMISSION

University Faculty Census Report 2018-2019

(Informational)

In March 2011, the Senate voted to change the representation ratio for electing senators from one senator for each 25 members of the electorate, to a representation model of a maximum number of 200 elected faculty seats. The legislative report and table showing the calculation for achieving a Senate of 200 elected faculty seats is available at http://sites.psu.edu/facultysenate/wp-content/uploads/sites/13525/2014/06/031511_appf.pdf.

In 2017-2018, the University Faculty Senate will be a fixed size of 200 elected faculty seats.

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<th>Total Faculty as of 10/31/16</th>
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Unit Ratio: unit faculty / total faculty  
Seats Allocated: 1+(available seats x unit ratio)  
Cutoff point is 2.4096
Appendix J
1/23/18

SENATE COMMITTEE ON LIBRARIES, INFORMATION SYSTEMS, AND TECHNOLOGY

PSU Libraries Collection Budget Report, 2017

(Informational)

Introduction

This is the third annual PSU Libraries Collections Budget report for the Senate Committee on Libraries, Information Systems, and Technology. The information covered in this report differs from previous years. In previous years the libraries’ have been able to employ reallocation strategies to supplement a flat collections budget. For example, funds from Operations have been available in the past to transfer to collections, but Operations funds were needed for construction in the 2016-2017 fiscal year, and we expect them to continue to be limited for the foreseeable future.

PSU libraries’ spending capabilities are challenged by rising inflation and publisher costs as well as scholarly publishing changes. External challenges imposed by publishers and vendors are exacerbated by the fact that our collections budget has remained flat for many years. While we strive to build and organize our collections as well as make them accessible to support the teaching, learning, and scholarship of Penn State faculty and students, we are straining to meet evolving research needs. For example, growing areas of research that require proprietary datasets are especially difficult for us to support due to the high costs involved. Our limited funds prevent us from adding resources without cancelling existing subscriptions or buying fewer books.

The challenges PSU Libraries are facing will be explored in detail in Part 5 of this report, but this report begins with a description of who (Part 1) is responsible for managing the overall budget; who manages the individual subject allocations and who manages the interactions with publishers and vendors, and pays the bills. This section also describes the process of selection and provides a sample collection policy used to guide purchasing decisions by discipline.

Next we move to what (Part 2). This section describes types of funding available for library collections, materials, and services.

The section on where (Part 3) describes the Penn State Libraries supported by the collections budget.

When (Part 4) describes the timing of our budgeting and purchasing cycles.

We follow the budget cycle information with the previously mentioned section describing challenges the libraries’ are facing with regard to building collections with limited funds. Next, there is a section outlining opportunities the library is pursuing that embrace new directions in scholarly publishing and communications.
The **Information** section features charts, tables and other numbers, a flowchart showing how the process works as we add items to the library collection, and it ends with budget information for the medical and law libraries. As with last year’s report we have included information about the databases we subscribe to.

We end with a report from Harrell Health Sciences Library (Harrell HSL). We did not receive a report from the two law libraries this year.

**Part 1. Who – Roles and responsibilities**

This section describes who in the library is responsible for managing the collections budget, spending the money and paying the bills, and ends with a description of how we choose what to purchase or subscribe to, with a sample collection development policy.

**ADMINISTRATION AND FINANCE**

The Senior Director of Administrative and Financial Services oversees the entire budget for the libraries, including endowments and the collections budget.

The Associate Dean for Research, Collections, and Scholarly Communication has overarching responsibility for the library collections budget (endowments, state appropriations, etc.), with the exception of the medical and law schools. All of the librarians who are charged with selecting and stewarding library collections (again with the exception of the medical and laws schools) are either based in the Research, Collections, and Scholarly Communications division of the library, or are Campus librarians. The Acquisitions Services Department reports to this associate dean.

**ACQUISITIONS SERVICES**

This department is responsible for all aspects of procuring books, journals, maps, media, sound recordings, scores, serials, sets, databases, back-files etc. They manage electronic resources and respond to access issues. They work closely with selectors, vendors, and publishers. For the past year and a half we have had an interim Acquisitions librarian. This fall we conducted a successful national search for the position of Head, Acquisitions Services Department, and this person will be joining the Libraries in March 2018.

**COLLECTIONS STRATEGIES AND SERVICES LIBRARIAN**

In February of 2017 the Libraries hired its first Collections Strategies and Services Librarian. This librarian is responsible for overseeing many of the aspects of the work of library selectors. This position manages the Joint Collections Group and oversees projects such as the creation of allocation methods, manages collections assessment activities, interacts with vendors and leads collaborative collection development opportunities. In addition to becoming acclimated to the organization, this librarian has been representing Penn State Libraries in collections-related projects through the Big Ten Academic Alliance as well as assisting with budget planning.
SELECTORS

Selectors are librarians with subject area expertise who are charged with selecting library materials in specific subject areas and stewarding the budgets for those areas. There are 86 librarians who do materials selection throughout the libraries. There are 168 different subjects ranging from Accounting to Zoology [https://secureapps.libraries.psu.edu/selectors/collectorgroupbrochure.cfm](https://secureapps.libraries.psu.edu/selectors/collectorgroupbrochure.cfm). The law and medical libraries manage their own selection and budgets.

Decisions by selectors about what to purchase or subscribe to are guided by the Libraries overarching policy for collection development, which is to collect and make accessible materials that meet the teaching and research needs of the university. Selectors also purchase in response to specific requests from faculty and graduate students, within the confines of the budget. Requests for books are nearly always purchased as well as new print and electronic content subscriptions. Packages, extensive backfiles, large sets and expensive databases that exceed the subject’s funding availability require a vetting process through a committee, and funds must be found or freed up through cancellations or through cost-sharing across disciplines. Undergraduates rarely request items, although their requests are taken into consideration if they fit the needs of the discipline. Otherwise they are directed towards interlibrary loan. Further, selectors are guided in their decisions by their own subject expertise and through a concerted effort to assess the needs of faculty, research programs, departments, colleges, and others. Selectors are organized into subject-based Collection Development Groups. Many selectors write collection policies to describe the parameters they use when selecting materials for broad subject areas. These are updated periodically, especially when there are substantive changes.

In previous reports we have included sample policies for collecting in specific disciplines. This year, in the interest of saving space we provide a link to our policies. They can be found here:

[https://libraries.psu.edu/about/departments/collections-services/collection-development-selections-policy-statements](https://libraries.psu.edu/about/departments/collections-services/collection-development-selections-policy-statements)

**Part 2. What – Money sources and types of materials purchased**

This section describes both the types and sources of money in the library’s collections budget and the types from the most recent budget year of materials we buy, subscribe, or procure licensed to access. This section includes a brief description of fundraising and library collections.

**Money Sources**

1. Allocated General Appropriation
2. Grants
3. Endowments
4. Gifts
Descriptions:

1. State appropriation: Allocated fiscally, July to June. Distribution is determined by the Associate Dean for Research, Collections, and Scholarly Communications. Allocations are typically completed by the end of August for each fiscal cycle. These funds must be fully committed by May 7th. Uncommitted balances are pooled after that date for desiderata purchases as these funds must be fully expended by June 30th. Carryover is not permitted. Outstanding order encumbrances are reflected against the new fiscal year allocations.

2. Grants: Some grants have designated funds for library collections.

3. Endowments: Income received on an annual basis, usually early summer. Distribution of these funds is based on the donor guidelines.

4. Gifts: These funds represent monetary gifts received through the Office of University Development and are added to the collections budget as received throughout the year. Distribution of these funds is based on donor instructions. These funds have no encumbrance or expenditure deadlines.

Fundraising and Collections

There are currently 144 collection endowments for the University Libraries for a wide range of disciplines and Special Collections.

Other development funds such as the For the Future Fund, discretionary funds, and portions of funds for accompanying named librarian positions and chairs are also used for collections.

One recent fund has been created to support the purchase of textbooks for class reserve materials, The Textbook and Educational Resources Fund. This fund aims to mitigate expenses that too often can prevent students from purchasing required course materials, or even enrolling in classes. Through generous donations and contributions, University Libraries are able to acquire a wide variety of textbooks, electronic, and educational resources (anatomical models, molecule sets, etc.) that are available for all Penn State students to borrow.

The purpose of this endowment is to support and enhance the University Libraries by providing monies for the development and/or purchase of textbooks and other resources and materials supporting the University Libraries Textbook and Open Educational Resources program.

Material types

The Libraries purchase materials in a variety of formats, primarily physical, electronic, digital, and microform. Below is a brief list of material types we acquire, which is by no means exhaustive.
• Books - Fiction/Non-Fiction/Textbooks
• Journals
• Newspapers
• Databases
• Cartographic maps
• Sound recordings
• Music scores
• Media
• Streaming media
• Art Museum exhibitions/ catalogs
• Conferences/Proceedings
• Juvenile fiction / picture books
• Atlases (Geographical, Nautical and Astronomical)
• Computer files, includes data sets
• Educational Kits including anatomical models
• Special Collections
• Encyclopedias, Dictionaries and other general reference books

Other expenditures

Approval Plan - latest published books automatically shipped to our library, reducing faculty selection time. Plans are based on individual collection development group profiles and preferences, and include a large discount, anywhere from 15-18% of cost.

Commercial Binding - a long-term preventative preservation strategy which extends the life of books and periodicals (supports and protects), deters theft of single periodicals and keeps books in one physical piece.

Equipment - circulating/reference collections that are not typically traditional library formats. (i.e.: calculators, globes, models, educational kits).

Interlibrary Loans and Document Delivery - Through agreements with other libraries, books and materials that are not owned by the Penn State University Libraries are obtained for PSU students, faculty, and staff. Document Delivery provides access to articles and book chapters available from publishers and our partner institutions.

Memberships - renewals that the Libraries maintain in order to receive specific collections materials or are maintained for rights, discounts, and/or voting privileges, often the are from society publishers where membership includes society published materials such as books and/or journals.

Patron Driven Acquisition (PDA) - model of library collection development in which we only purchase streaming video materials when it is clear that a PSU student, faculty or instructors need them for curricular needs.

Postage and service fees - Less than one percent of our overall expenditures, these fees cover postage from foreign vendors, and when vendors require service fees often for hosting digital materials.
Part 3. Where – Libraries at Penn State

This section lists the libraries who have separate budgets for collections and the campus libraries supported by the University Park collections budget, and describes what the libraries pay for jointly.

a. These four libraries have separate budgets, but share costs for some materials such as databases and journals:

   University Libraries
   Hershey Medical
   Penn State Law
   Dickinson Law

Penn State Hershey collaboratively supports partial renewal costs of over 570 electronic journals and databases at ~$1.72M annually. The Dickinson Law and Penn State Law libraries support university-wide access to more than 2,000 law and law-related journals and 120 databases in excess of $400,000 annually.

b. The centralized collections budget for University Libraries at University Park is used to purchase materials for the following:

   Architecture & Landscape Architecture Library
   George and Sherry Middlemas Arts and Humanities Library
   Donald W. Hamer Maps Library
   Fletcher L. Byrom Earth and Mineral Sciences Library
   Education and Behavioral Sciences Library
   Engineering Library
   Life Sciences Library
   News and Microforms Library
   Physical and Mathematical Science Library
   Schreyer Business Library
   Social Sciences Library
   Eberly Family Special Collections Library

   Penn State Abington Library
   Penn State Altoona Robert E. Eiche Library
   Penn State Beaver Library
   Penn State Berks Thun Library
   Penn State Brandywine John D. Vairo Library
   Penn State DuBois Library
   Penn State Erie John M. Lilley Library
   Penn State Fayette Library
   Penn State Great Valley Library
   Penn State Greater Allegheny J. Clarence Kelly Library
Part 4. When – the annual calendar of budgetary events

This section describes the fiscal year events for the collections budget.

Fiscal Calendar

July
  Fiscal Year closeout
  • Open orders rolled-over for new Fiscal Year (FY)
  • Budget lines closed

  New Year startup
  • Information from university on state funds for collections available
  • Information on new endowment and carryover gift and endowment funds
  • Preliminary allocations entered into system
  • Ordering can begin
  • 15th Deadline for journal cancellations must be completed

August
  • Final allocations completed (if state has a budget)

September
  • Documentation for selectors on previous FY budgeting completed

October
  • Quarterly review of large item wants list by Joint Collections Group (JCG),
    formerly the Collection Services Advisory Group (CSAG)
  • Journal renewals authorized

November
  • Endowed funds should be 50% committed

January
  • Quarterly review of large item wants list by JCG
  • Endowed funds should be 70% committed
● 31st Deadline for Asian and non-European orders
● Rolling review for journal subscriptions begins

March
● Deadline for new print journal subscriptions
● 15th Deadline for non-domestic and European orders

April
● Quarterly review and prioritization of large item wants list by JCG
● Deadline for electronic resource orders (databases, journals, packages)
● 15th Endowed funds must be 100% committed
● 15th Average inflation rates available from Library Journal

May
● Deadline for state funds for books 100% committed
● 12th uncommitted state funds pooled for reserve

June
● Inflation planning for rolling review of journal subscriptions finalized
● 30th Deadline all book and endowed funds fully expended

Part 5. Challenges

In the past the Libraries have had the option to reallocate some internal funds to Collections to forestall mandatory massive journal and database cancellations. However, we are reaching a point where we will be unable to employ this strategy. Many other research libraries have had to make deep cuts to their subscriptions, and PSU Libraries may have to consider that in the near future.

The cost of scholarly journals continues to rise at a rate that most libraries are strained or unable to absorb. Every year, a library-focused publication titled, Library Journal publishes the Periodicals Price Survey that provides historical and current information on the cost of journals as well as information on library budgets. In 2017, the Periodicals Price Survey reported that out of over 500 libraries in North America that received the survey, only 11% of libraries had a budget increase of 5% or more while 64% had budgets that remained the same or had increases of less than 5%. While inflation rates vary by discipline, the overall annual cost increases for scholarly journals have been holding steady at around 6% since 2012 (Source: LJ PERIODICALS PRICE SURVEY 2017).

Journal subscriptions are merely one expense the Libraries’ have to manage; large databases that contain non-journal content such as datasets or other kinds of research material as well as books also have costs that rise over time. Penn State Libraries has not received an increase to the collections budget base for years. We are in the process of adjusting some of our internal ordering processes to save funds, and we are closely monitoring our monograph spending, but these methods will only help us partially address our lack of funding.

Regardless of how diligent the Libraries are about managing the collections budget, the fact remains that costs are increasing while our budget is not. And our lack of funds has opportunity
and monetary costs. There are certain cost-saving measures that we cannot take advantage of because we don’t have much flexibility in the budget. For example, pre-paying for a multi-year subscription is often a way of getting a lower subscription rate, but we don’t have the funds to pay that amount upfront. Also, there are certain products that offer a subscription model and a purchase model. The purchase model typically has a higher upfront cost, but it is a one-time cost versus paying an annual subscription fee indefinitely, so we would save money in the long run if we were able to take advantage of the purchase model. There are cases where we know we want to maintain access to a resource for the foreseeable future, but we don’t have the funds to pay the higher one-time fee. The libraries are unable to play a long game with regard to subscriptions and we find ourselves in an endless cycle of reaction rather than long-term planning.

Publishers and vendors, on the other hand, are able to play the long game -- inflation rates are one challenge, and publisher subscription models are another. While the “Big Deal” (a subscription model that packages electronic journal titles together and locks libraries into multi-year deals while limiting or preventing cancellations) journal packages are the most well-known example of a challenging subscription model, there are many others. For example, Penn State Libraries has subscribed to Thomson Reuters Web of Science for many years, and in the past the product was offered with optional add-on subscriptions such as Biological Abstracts -- a database that focuses on journals in Life Sciences, and the Book Citation Index. However, a venture capital firm named Clarivate acquired Web of Science in 2016, and they have changed the Web of Science subscription model. Products like Biological Abstracts and Book Citation Index that were once optional are no longer considered separate products. Customers are being told that the previous subscription model is no longer an option; they have to subscribe to everything as part of a larger package. Penn State participated in a consortial license for Web of Science through the Big Ten Academic Alliance (BTAA), and consortial licenses help us to lower our costs. However, the Big Ten Academic Alliance was not successful in their attempts to negotiate with Clarivate to maintain the previous subscription model. The BTAA was able to negotiate low annual increases, but those low increases were only available if we subscribed to the whole package.

It isn’t unusual for content providers to change ownership. Another example of a merger that has also posed challenges for tight library budgets is the 2015 merger of Springer and Nature, now known as SpringerNature. In 2017, SpringerNature launched 5 new journals and plans to launch more new journals in 2018. While launching new journals may not seem like an unusual move for a publisher, this rate of growth is aggressive and the costs of these new titles are exorbitant. SpringerNature claims they are responding to the increased demand from faculty for outlets for their research; however, there isn’t a limit on the number of articles that can be published in a single issue, so creating entirely new titles with high subscription costs is a practice that benefits the publishers alone.

Due to the lack of funds, we’ve had to decline participation in open access initiatives that we’ve participated in in the past. For example, Knowledge Unlatched is an organization that works with libraries and publishers to make books openly available with a Creative Commons license. We were not able to support them this year because we had to ensure that we had enough funding to cover our existing expenses.
Part 6. Opportunities

While the current state of the libraries’ collections budget is not conducive to many opportunities, there are several projects underway to aid with developing and managing collections. Many projects that PSU Libraries were interested in starting were waiting for the Collections Services and Strategies Librarian to arrive, and a number of those projects launched this year. The Collections Services and Strategies Librarian is working with a group to update guidelines for sending physical items to remote storage and duplication within library collections. She is also working with a group to provide use data for electronic journals to inform the retention decisions of selectors during the annual serials review. One of her first priorities was to work with the Libraries’ I-Tech department to create a Collections portal that enhances access to the Libraries’ many different collections and subject expertise.

This fall, the Libraries also posted the Head of Acquisitions Librarian position, and two candidates were invited to campus for in-person interviews. The librarian has been hired and will begin working on or before March 15th, 2018. Filling this position will greatly improve the libraries’ ability to handle the workload involved in managing purchasing and subscriptions.

Members of library administration charged a Campus Collection Vision Group, and it is comprised of librarians at our Commonwealth Campus Libraries as well as the Collections Services and Strategies Librarian. The Campus Collection Vision Group is investigating a shared collection vision for the Commonwealth Campus Libraries that includes a review of options related to implementation of a shared collection approval plan for books and recommendations for collection storage and retrieval at the campus libraries.

One benefit of PSU Libraries’ involvement with the BTAA is the annual large-scale acquisitions purchases that the BTAA negotiates for member libraries. Each year, PSU Libraries deposits money with the BTAA for large consortial purchases. This money was carved out of the collections budget years ago, so it is a well-established expense that is covered with our base collections budget. This year the BTAA has negotiated purchases of raw XML Web of Science data. Individual departments at Penn State have been purchasing this data, and it will now be made available to all students and faculty at Penn State through the libraries’ license. The BTAA also used large-scale acquisitions funds to support digitization projects through Reveal Digital. Reveal Digital employs a library crowd-funding model to digitize collections and make them openly accessible. This year, Reveal Digital digitized a collection of newspapers from the rise and fall of the 1920’s Ku Klux Klan.

Information

This section provides tables, graphs, charts and other representations used to describe the money we have to spend, the resources we spend it on, the vendors we purchase the most from and the subject area cost and projected pricing break-downs. The budget numbers are for the collections budget for University Park and Campus libraries and excludes the medical and law school libraries. The medical and law schools library budget information ends this section.
Databases

We completed the project to enhance our records for databases to improve reporting. We can now report on numbers and values of databases by college, program, and or content type, and any combination thereof. So if the college of Liberal Arts wants to know what types of databases support political science, we can get that information for them.

2016/17 PSUL Database Support by Program

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<td>Earth Sciences</td>
<td>$26,239</td>
</tr>
<tr>
<td>Economics</td>
<td>$162,259</td>
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<tr>
<td>Education And Public Policy</td>
<td>$19,279</td>
</tr>
<tr>
<td>Elementary And Kindergarten Education</td>
<td>$4,790</td>
</tr>
<tr>
<td>Electrical Engineering</td>
<td>$37,023</td>
</tr>
<tr>
<td>Energy Business And Finance</td>
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</tr>
<tr>
<td>Energy Engineering</td>
<td>$7,400</td>
</tr>
<tr>
<td>Program</td>
<td>Budget</td>
</tr>
<tr>
<td>----------------------------------------------</td>
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</tr>
<tr>
<td>Energy And Sustainability Policy</td>
<td>$7,400</td>
</tr>
<tr>
<td>Engineering Science</td>
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<tr>
<td>English</td>
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<td>Environmental Science</td>
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<td>Environmental Resource Management</td>
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<td>Environmental Systems Engineering</td>
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<td>Film-Video</td>
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<td>Finance</td>
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<td>Food Science</td>
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<td>French And Francophone Studies</td>
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<td>General Arts And Sciences</td>
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<td>Geography</td>
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<td>Geosciences</td>
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<td>Health Policy And Administration</td>
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<td>Program</td>
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<td>-------------------------------</td>
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<td>History</td>
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<td>Information Sciences And Technology</td>
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<td>Labor And Employment Relations</td>
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<td>Landscape Architecture</td>
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<td>Latin-American Studies</td>
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<td>Law And Society</td>
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<td>Letters, Arts, And Sciences</td>
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<td>Management</td>
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<tr>
<td>Marketing</td>
<td>$344,265</td>
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<tr>
<td>Field</td>
<td>Cost</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Materials Science And Engineering</td>
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<tr>
<td>Mathematics</td>
<td>$23,291</td>
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<tr>
<td>Mechanical Engineering</td>
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<tr>
<td>Media Studies</td>
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<tr>
<td>Meteorology</td>
<td>$5,852</td>
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<tr>
<td>Mining Engineering</td>
<td>$695</td>
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<td>Music Education</td>
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<td>Philosophy</td>
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<td>Physics</td>
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<td>Plant Sciences</td>
<td>$7,600</td>
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<td>Political Science</td>
<td>$267,273</td>
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<tr>
<td>Premedical-Medical</td>
<td>$345,039</td>
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<tr>
<td>Psychology</td>
<td>$83,340</td>
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<tr>
<td>Field</td>
<td>Cost</td>
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<tr>
<td>--------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>Psychological And Social Sciences</td>
<td>$64,343</td>
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<tr>
<td>Public Policy</td>
<td>$85,677</td>
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<tr>
<td>Recreation, Park And Tourism Management</td>
<td>$1,225</td>
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<tr>
<td>Rehabilitation And Human Services</td>
<td>$1,795</td>
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<tr>
<td>Risk Management</td>
<td>$3,064</td>
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<tr>
<td>Russian</td>
<td>$621</td>
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<tr>
<td>Science</td>
<td>$164,561</td>
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<tr>
<td>Science-Physical Therapy</td>
<td>$8,718</td>
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<tr>
<td>Security And Risk Analysis</td>
<td>$21,045</td>
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<tr>
<td>Social Data Analytics</td>
<td>$127,027</td>
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<tr>
<td>Sociology</td>
<td>$171,879</td>
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<tr>
<td>Spanish</td>
<td>$1,950</td>
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<tr>
<td>Statistics</td>
<td>$23,291</td>
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<tr>
<td>Supply Chain And Information Systems</td>
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<tr>
<td>Telecommunications</td>
<td>$6,876</td>
</tr>
<tr>
<td>Theatre</td>
<td>$4,980</td>
</tr>
<tr>
<td>Veterinary And Biomedical Sciences</td>
<td>$54,100</td>
</tr>
<tr>
<td>Visual Art Studies</td>
<td>$33,586</td>
</tr>
</tbody>
</table>
Wildlife And Fisheries Science | $11,919
Women's Studies | $26,191

Collection Budget – By sources of funding for the most recent five years

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>State appropriation</th>
<th>Temporary reallocation from PSUL operations</th>
<th>Temporary reallocation from Univ. Administration</th>
<th>Endowments</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012/13</td>
<td>$14,006,714</td>
<td>$1,186,800</td>
<td>$25,000</td>
<td>$964,706</td>
<td>$16,183,220</td>
</tr>
<tr>
<td>2013/14</td>
<td>$14,006,714</td>
<td>$960,500</td>
<td></td>
<td>$970,660</td>
<td>$15,937,874</td>
</tr>
<tr>
<td>2014/15</td>
<td>$14,356,714</td>
<td>$751,912</td>
<td></td>
<td>$1,309,032</td>
<td>$16,417,658</td>
</tr>
<tr>
<td>2015/16</td>
<td>$14,356,714</td>
<td>$1,824,924</td>
<td></td>
<td>$1,305,944</td>
<td>$17,487,582</td>
</tr>
<tr>
<td>2016/17</td>
<td>$14,356,714</td>
<td>$1,197,000</td>
<td></td>
<td>$1,321,099</td>
<td>$16,874,813</td>
</tr>
</tbody>
</table>

Inflation

Five years of our projected inflation based on Library Journal percentage estimations for inflation on books and journals. Represents increase over the previous FY.

<table>
<thead>
<tr>
<th>Year Pair</th>
<th>Inflation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017/2018</td>
<td>$616,166</td>
</tr>
<tr>
<td>2018/2019</td>
<td>$655,984</td>
</tr>
<tr>
<td>2019/2020</td>
<td>$814,958</td>
</tr>
<tr>
<td>2020/2021</td>
<td>$863,855</td>
</tr>
<tr>
<td>2021/2022</td>
<td>$915,686</td>
</tr>
</tbody>
</table>
PSUL Management of Inflation Factors (actions)

<table>
<thead>
<tr>
<th>FY</th>
<th>Base Increase</th>
<th>Resource Cancellations</th>
<th>Collections Redistribution</th>
<th>Soft Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016/17</td>
<td>$0</td>
<td>$77,892</td>
<td>$144,577</td>
<td>$393,697</td>
</tr>
<tr>
<td>2017/18</td>
<td>$0</td>
<td>$121,594</td>
<td>$116,926</td>
<td>$497,677</td>
</tr>
</tbody>
</table>

Top five expenditure sources for 2016/17

- Elsevier – *journals, ebooks*  
  Expenditures: $3,464,609
- Ebsco Information Services – *vendor for the majority of our journals*  
  Expenditures: $3,102,817
- Big Ten Academic Alliance – *membership gives us discounted prices on a variety of materials. This amount is for the resources we purchase through the BTAA agreements.*  
  Expenditures: $1,667,472
- YBP Library Services – *vendor for domestic print books and ebooks*  
  Expenditures: $1,590,110
- Otto Harrassowitz – *vendor for foreign journals, books (Springer/Taylor & Francis)*  
  Expenditures: $1,126,628

Expenditures for fiscal year 2016/17 by material types (not all materials are included)

<table>
<thead>
<tr>
<th>Material Type</th>
<th>Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Books: print</td>
<td>$1,441,177</td>
</tr>
<tr>
<td>Books: electronic</td>
<td>$486,483</td>
</tr>
<tr>
<td>Journals: print</td>
<td>$558,950</td>
</tr>
<tr>
<td>Journals: electronic</td>
<td>$7,462,971</td>
</tr>
<tr>
<td>Newspapers: print (electronic are part of Databases)</td>
<td>$50,185</td>
</tr>
<tr>
<td>Databases</td>
<td>$6,211,609</td>
</tr>
<tr>
<td>Cartographic maps</td>
<td>$2,999</td>
</tr>
<tr>
<td>Sound recordings</td>
<td>$7,868</td>
</tr>
<tr>
<td>Subject Area</td>
<td>Expenditure</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Interdisciplinary</td>
<td>$4,639,459</td>
</tr>
<tr>
<td>PAMS</td>
<td>$2,123,069</td>
</tr>
<tr>
<td>Life Sciences</td>
<td>$2,049,085</td>
</tr>
<tr>
<td>Arts &amp; Humanities</td>
<td>$1,540,572</td>
</tr>
<tr>
<td>Engineering</td>
<td>$1,317,785</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>$1,149,403</td>
</tr>
<tr>
<td>Business</td>
<td>$859,860</td>
</tr>
<tr>
<td>EMS</td>
<td>$810,347</td>
</tr>
<tr>
<td>Special Collections</td>
<td>$386,877</td>
</tr>
<tr>
<td>News Group</td>
<td>$301,748</td>
</tr>
</tbody>
</table>
This pie chart portrays data from the preceding table, titled 2016/17 University Park Campus Expenditures by general subject areas.
The above bar chart shows Fiscal Year Expenditures by funding source. Funding sources include the base funding which is our allocation from the university and the libraries portion of the students IT fee, endowed funding, gifts and State Library Services (SLS) funds.

Other sources for materials available to Penn State through memberships and other arrangements

<table>
<thead>
<tr>
<th>Memberships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Association for Information Science and Technology membership</td>
</tr>
<tr>
<td>International Federation of Library Associations and Institutions. Membership.</td>
</tr>
<tr>
<td>European consortium for political research membership</td>
</tr>
</tbody>
</table>
Center for Research Libraries membership.
LOCKSS alliance membership
Counter membership
CLOCKSS membership

Average Prices for Libraries to acquire print and electronic journals

**Library Journal**  AVERAGE 2017 PRICE FOR SCIENTIFIC DISCIPLINES

<table>
<thead>
<tr>
<th>DISCIPLINE</th>
<th>AVERAGE PRICE PER TITLE</th>
<th>DISCIPLINE</th>
<th>AVERAGE PRICE PER TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chemistry</td>
<td>$4,773</td>
<td>Botany</td>
<td>$2,053</td>
</tr>
<tr>
<td>Physics</td>
<td>4,369</td>
<td>Zoology</td>
<td>1,988</td>
</tr>
<tr>
<td>Engineering</td>
<td>3,408</td>
<td>Math &amp; Computer Science</td>
<td>1,971</td>
</tr>
<tr>
<td>Biology</td>
<td>2,917</td>
<td>Geography</td>
<td>1,742</td>
</tr>
<tr>
<td>Food Science</td>
<td>2,567</td>
<td>Health Sciences</td>
<td>1,736</td>
</tr>
<tr>
<td>Geology</td>
<td>2,381</td>
<td>Agriculture</td>
<td>1,666</td>
</tr>
<tr>
<td>Technology</td>
<td>2,234</td>
<td>General Science</td>
<td>1,556</td>
</tr>
<tr>
<td>Astronomy</td>
<td>2,071</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*SOURCE: LJ PERIODICALS PRICE SURVEY 2017*

This table is from the magazine Library Journal. It lists the average journal subscription price for 2017, for Science, Technology, Engineering and Math journals. The prices range from the highest, Chemistry at $4,773 to General Science at $1,556.
## TABLE 3: COST HISTORY FOR ONLINE TITLES IN CLARIVATE ANALYTICS (FORMERLY ISI) INDEXES

<table>
<thead>
<tr>
<th>SUBJECT</th>
<th>AVERAGE COST PER TITLE 2016</th>
<th>% OF CHANGE 2015-2016</th>
<th>AVERAGE COST PER TITLE 2017</th>
<th>% OF CHANGE 2016-17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agriculture</td>
<td>$1,098</td>
<td>5</td>
<td>$1,155</td>
<td>7</td>
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<tr>
<td>Anthropology</td>
<td>517</td>
<td>6</td>
<td>545</td>
<td>7</td>
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<tr>
<td>Arts &amp; Architecture</td>
<td>556</td>
<td>6</td>
<td>585</td>
<td>4</td>
</tr>
<tr>
<td>Astronomy</td>
<td>1,957</td>
<td>4</td>
<td>2,026</td>
<td>4</td>
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<tr>
<td>Biology</td>
<td>2,497</td>
<td>5</td>
<td>2,632</td>
<td>6</td>
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<tr>
<td>Botany</td>
<td>1,940</td>
<td>5</td>
<td>2,075</td>
<td>7</td>
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<tr>
<td>Business &amp; Economics</td>
<td>912</td>
<td>7</td>
<td>964</td>
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<tr>
<td>Chemistry</td>
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<td>4,759</td>
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<td>Education</td>
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<td>8</td>
<td>993</td>
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<tr>
<td>Engineering</td>
<td>2,209</td>
<td>6</td>
<td>2,343</td>
<td>6</td>
</tr>
<tr>
<td>Food Science</td>
<td>1,569</td>
<td>6</td>
<td>1,686</td>
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<tr>
<td>General Science</td>
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<td>1,502</td>
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<td>General Works</td>
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<td>Geography</td>
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<td>1,403</td>
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<tr>
<td>Geology</td>
<td>1,253</td>
<td>5</td>
<td>1,312</td>
<td>6</td>
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<tr>
<td>Health Sciences</td>
<td>1,649</td>
<td>6</td>
<td>1,732</td>
<td>7</td>
</tr>
<tr>
<td>History</td>
<td>468</td>
<td>6</td>
<td>497</td>
<td>6</td>
</tr>
<tr>
<td>Language &amp; Literature</td>
<td>381</td>
<td>6</td>
<td>399</td>
<td>6</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>-----</td>
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<td>----</td>
</tr>
<tr>
<td><strong>Law</strong></td>
<td>583</td>
<td>6</td>
<td>612</td>
<td>6</td>
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<tr>
<td><strong>Library Science</strong></td>
<td>522</td>
<td>8</td>
<td>540</td>
<td>5</td>
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<tr>
<td><strong>Math &amp; Computer Science</strong></td>
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<td>5</td>
<td>1,618</td>
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<tr>
<td><strong>Military &amp; Naval Science</strong></td>
<td>1,002</td>
<td>7</td>
<td>1,060</td>
<td>5</td>
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<tr>
<td><strong>Music</strong></td>
<td>359</td>
<td>6</td>
<td>380</td>
<td>3</td>
</tr>
<tr>
<td><strong>Philosophy &amp; Religion</strong></td>
<td>429</td>
<td>6</td>
<td>449</td>
<td>5</td>
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<tr>
<td><strong>Physics</strong></td>
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<td>4,447</td>
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<tr>
<td><strong>Political Science</strong></td>
<td>751</td>
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<td>803</td>
<td>6</td>
</tr>
<tr>
<td><strong>Psychology</strong></td>
<td>981</td>
<td>7</td>
<td>1,040</td>
<td>6</td>
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<tr>
<td><strong>Recreation</strong></td>
<td>698</td>
<td>7</td>
<td>733</td>
<td>9</td>
</tr>
<tr>
<td><strong>Social Sciences</strong></td>
<td>912</td>
<td>8</td>
<td>961</td>
<td>5</td>
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<tr>
<td><strong>Sociology</strong></td>
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<td>7</td>
<td>885</td>
<td>6</td>
</tr>
<tr>
<td><strong>Technology</strong></td>
<td>1,450</td>
<td>4</td>
<td>1,524</td>
<td>4</td>
</tr>
<tr>
<td><strong>Zoology</strong></td>
<td>2,191</td>
<td>4</td>
<td>2,294</td>
<td>4</td>
</tr>
<tr>
<td><strong>AVERAGE</strong></td>
<td>1,314</td>
<td>6</td>
<td>1,385</td>
<td>5</td>
</tr>
</tbody>
</table>

**SOURCE:** LJ PERIODICALS PRICE SURVEY 2017

This table is from the magazine Library Journal. It lists the average journal subscription price for 2017, for online journals from Clarivate Analytics (formerly ISI indexes). The prices range from the highest, Chemistry journals subscription price is at $4,447 to Music at $380, average annual subscription cost. It lists the total average cost at $1,385.
Appendix J
1/23/18

Flowchart from budget allocation to materials available for use

The flowchart above moves through the following steps: State and endowment money added to the budget, flows to Collections budget allocated to Subject Liaisons, flows to Liaisons choose materials to purchase OR respond to requests from faculty and students, flows to Acquisitions purchases or subscribes to materials, flows to Materials arrive physically in the library or digital access is turned on, flows to information about the materials are added to the catalog by catalogers, flows to Materials are placed on the library shelves - paperbacks sent to bindery.

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access is turned on, flows to Information about the materials are added to the catalog, and ends at Materials are placed on the library shelves – paperbacks are sent to the bindery.

Medical Library Budget Report

Penn State College of Medicine
Harrell Health Sciences Library: Research and Learning Commons

Introduction:

The Harrell Health Sciences Library (Harrell HSL), located within the Penn State College of Medicine and the Penn State Health Milton S. Hershey Medical Center, is the health sciences library for Penn State University. As such, the primary focus of collection development is the health and biomedical sciences. The library reports administratively to the Dean of University Libraries while also reporting to the Vice Dean for Educational Affairs, Penn State College of Medicine, resulting in a dual reporting structure. The Harrell HSL has a Memorandum of Understanding in place that describes the partnership between the Penn State College of Medicine and the Penn State University Libraries. The library retains a separate cost center with the budget originating through the COM. All direct costs associated with managing the Harrell HSL, including the collections budget, are a component of the budget determined by the Dean of the College of Medicine.

Revenue Sources:

As a cost center within the College of Medicine (COM), the library’s funding is derived from a variety of revenue streams. Academic support for the COM includes revenues from the Milton S. Hershey Medical Center (HMC) for services, the HMC Fixed Support Payment, the Dean’s percentage of professional clinical revenue, tuition and fees, a University contribution, lease income, investment income, and endowment returns. The Harrell HSL also has a small gift fund used to support symposia, sponsored speakers, professional development and other types of unfunded opportunities as well as occasional grants.

Development & Fundraising:

The Harrell HSL works with Development & Alumni Relations staff in Hershey, PA, to develop support. In the last few years, a campaign has been held in support of the Harrell HSL Renovation. Long-term the Harrell HSL has plans to build an endowment to support collections.

Roles and Responsibilities:

Administration & Finance

Administration of the library’s budget falls under the Director/Associate Dean for Library and Information Services of the Harrell HSL, the Vice Dean for Educational Affairs, and the Dean of the College of Medicine. The Director/Associate Dean oversees the budget and delegates
responsibility for the collections budget to the Collection Development & Digital Resources Management Librarian (see attached Organization Chart).

Collection Management

The Collection Development & Digital Resources Management Librarian, in partnership with the Collection Access & Support Services Librarian, is responsible for selecting library materials, managing electronic resources, responding to access issues, working with vendors and publishers, and working closely with the University Libraries Acquisition Services to procure and pay for resources. The collection management librarians also maintain the scoped database list and the eJournal list on the Harrell HSL website. The Harrell HSL maintains an active liaison program. Primary functions of the liaison program include: intelligence gathering, engagement and outreach; marketing, promotion and advocacy; and collection building. In their role as liaisons, faculty librarians serve as selectors in their assigned areas of responsibility, providing recommendations and input to the Collection Development & Digital Resources Management Librarian.

The Harrell HSL relies on the University Libraries Acquisition Services, Cataloging and Metadata Services, while also performing some acquisitions and cataloging functions onsite, and utilizes the Libraries automated systems supported through Libraries Technology (I-Tech) i.e. Serials Solutions, the SIRSI ILS, and the Illiad Interlibrary Loan system, etc. The centralization of these types of support services is both cost effective and efficient.

The Collection Development & Digital Resources Management Librarian is a member of the Joint Collections Group (formerly CSAG) representing the interest of the Harrell HSL. She also serves on ad hoc collections teams as needed in order to facilitate joint collection development efforts. For example, University Libraries provides primary support for the nursing collections across all campuses. The Harrell HSL collaborates in the acquisition of appropriate materials.

Materials Purchased:

The Harrell HSL has a Collection Development Policy that describes in detail the types of material collected (primarily in electronic formats), core subject categories, and efforts to coordinate library purchases in partnership with University Libraries to build collections in the life, health and biomedical sciences. This relationship has allowed the libraries to leverage collection dollars and has proven to be both cost effective and beneficial for Penn State as a whole. By minimizing duplication between the libraries, students, faculty, and staff have access to the broadest range of materials.

The Harrell HSL provides an ILL service on a cost-recovery basis. Lending library charges are passed on to the individual/department requesting documents. ILL staff makes every effort to obtain loans free of charge; reciprocal agreements are in place with partnering Big Ten (CIC) Libraries. The library is a designated Resource Library within the National Networks of Libraries of Medicine and as such is a fully participating member in the NLM DOCLINE system.
The Harrell HSL no longer binds material since the vast majority of the in-scope collection purchased is in electronic format.

Shared Purchasing

The Harrell HSL shares costs for relevant in-scope materials with University Libraries. The library also acquires a subset of resources for Harrell HSL users only. The total collection expenditures in FY 2016/2017 were $2,161,791.10.

Of these expenditures, 89% was expended in support of resources accessible by all Penn State user groups. The remaining 11% of expenditures provided access for Harrell HSL users only to resources specific to the needs of the local campus, its vision and its mission.

In FY 2016/2017, the Harrell HSL contributed an overall 12% of the funds for purchases from the University Libraries top 5 vendors as shown below:

<table>
<thead>
<tr>
<th>Vendor</th>
<th>PSUL</th>
<th>Harrell HSL</th>
<th>Percentage Harrell HSL contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ebsco</td>
<td>$3,102,817.00</td>
<td>$506,275.49</td>
<td>14%</td>
</tr>
<tr>
<td>Elsevier</td>
<td>$3,464,609.00</td>
<td>$715,195.09</td>
<td>17%</td>
</tr>
<tr>
<td>CIC</td>
<td>$1,667,472.00</td>
<td>$125,402.72</td>
<td>7%</td>
</tr>
<tr>
<td>YBP</td>
<td>$1,590,110.00</td>
<td>$0.00</td>
<td>0%</td>
</tr>
<tr>
<td>Harrassowitz</td>
<td>$1,126,628.00</td>
<td>$191,363.70</td>
<td>15%</td>
</tr>
<tr>
<td>Sum</td>
<td>$10,951,636.00</td>
<td>$1,538,237.00</td>
<td>12%</td>
</tr>
</tbody>
</table>

A small portion of the overall library materials budget at the Harrell Health Sciences Library is used for book purchases. The remainder of the materials purchased are various types of electronic materials.
The Harrell Health Sciences Library chooses to support databases that are critical to the four parts of the Penn State College of Medicine and Penn State Health mission:

1. Academic (education)
2. Clinical
3. Research
4. Community Service

A breakdown of select Harrell HSL database expenditures for FY 2016/2017 is shown below, along with the distribution of contributions from University Libraries and the Harrell HSL.

**Inflation and Other Challenges**

Annual inflation for HHSL information resources fluctuates between 5-9% with the overall annual average over the past eight years being 6%. Because of the fluctuations each year and the fact that budget projections for the new fiscal year are made early, the HHSL uses a conservative inflation estimate based on recommendations from our vendors. In a typical year, some resources experience higher inflation than others. The chart below shows the annual inflationary increases by percentage since FY 2010/2011 for some of the important biomedical information resources to which we subscribe.

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>UpToDate</td>
<td>19%</td>
<td>21%</td>
<td>17%</td>
<td>15%</td>
<td>13%</td>
<td>9%</td>
<td>9%</td>
</tr>
<tr>
<td>JAMA &amp; Archives</td>
<td>17%</td>
<td>10%</td>
<td>7%</td>
<td>8%</td>
<td>7%</td>
<td>5%</td>
<td>4%</td>
</tr>
<tr>
<td>JAMA Evidence</td>
<td>5%</td>
<td>5%</td>
<td>6%</td>
<td>8%</td>
<td>9%</td>
<td>11%</td>
<td>32%**</td>
</tr>
<tr>
<td>Dynamed</td>
<td>7%</td>
<td>7%</td>
<td>7%</td>
<td>6%</td>
<td>5%</td>
<td>5%</td>
<td>5%</td>
</tr>
</tbody>
</table>
The current health care climate presents additional challenges for the HHSL. With the creation of Penn State Health, questions arise regarding how the HHSL relates to entities within the Penn State Health network. All of the license agreements for library resources are made as Penn State University or the Penn State College of Medicine. The coverage for those licenses includes only what has been historically called Penn State Hershey. This is the Penn State College of Medicine, the Milton S. Hershey Medical Center, the Children’s Hospital, the Cancer Institute, the University Physicians Center, and various outpatient clinics. With the addition of other clinics and hospitals, such as the purchase of St. Joseph’s Hospital in Reading and the PALS Medical Group in Lancaster County, the HHSL was legally required to find ways to prevent access to library resources by these groups as they are not covered under the licenses currently in place. This was accomplished by working with IT in Hershey to create an exclude section of our IP range. Any new hospitals or clinics brought online by Penn State Health must be put in the exclude section of the IP range to prevent breach of contract with our library resource vendors. However, each of these institutions would like to have access to Penn State library resources so the question is frequently raised about library access for them. The HHSL is in the process of exploring models where library access could be offered to the Penn State Health entities without jeopardizing the current agreements in place with library vendors. This will likely take the shape of having to enter into separate agreements with vendors for the Penn State Health entity so that the known costs of providing information resources to Penn State Health can be passed along to Penn State Health to support the access. Health information vendors are well aware of the current health care climate and they maintain awareness of what their customers are doing in that marketplace. The HHSL is regularly contacted by our information vendors when Penn State Health makes a new acquisition to question whether these sites will be provided access to resources through the HHSL. Should that answer be yes, be assured that the costs will increase dramatically. The current HHSL budget cannot support the costs of adding additional hospitals and clinical settings to the existing information resource vendor agreements.

<table>
<thead>
<tr>
<th>Library Resource</th>
<th>10%</th>
<th>6%</th>
<th>7%</th>
<th>7%</th>
<th>5%</th>
<th>5%</th>
<th>4%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Science Direct</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ClinicalKey*</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5%</td>
<td>3%</td>
<td>3%</td>
</tr>
<tr>
<td>Cochrane Library</td>
<td>4%</td>
<td>4%</td>
<td>4%</td>
<td>4%</td>
<td>4%</td>
<td>4%</td>
<td>4%</td>
</tr>
<tr>
<td>Natural Medicines**</td>
<td></td>
<td></td>
<td></td>
<td>9%</td>
<td>8%</td>
<td>7%</td>
<td>7%</td>
</tr>
</tbody>
</table>

*ClinicalKey subscription began in FY14. (Was MDConsult previously)
**The JAMA Evidence 2016/2017 percentage increase is due to not just inflation but also expanded coverage.
*** The first three years of Natural Medicines were under a special agreement to keep inflation flat.
In addition, there are constantly pressures to add additional information resources to the library’s subscriptions. Currently, the HHSL has a list of materials requested by various members of our community (faculty, staff, and students) that exceeds $250,000 at this point in time. Requests for additional resources come in continuously from faculty within the College of Medicine. Each year, the Collection Development and Digital Resource Management Librarian and the Director/Association Dean for Library and Information Services evaluate the requested items in light of the library’s collections budget and established selection criteria. Select additions are made as possible.

**Discussion and Conclusion**

This report highlights several very troubling trends. The rate of increase in the cost of books and journal subscriptions continues to outpace both general inflation and the rate of increase of university funds budgeted to the library. In the past, the library has been able to cover these costs by internal budget reallocations from other library expenses to the collections budget, but this will not be able to continue in the future to the same extent. Future reports from the LIST committee, both informational and advisory/consultative, will present possible strategies to lower costs while retaining the quality of our library collections.

SENATE COMMITTEE ON LIBRARIES, INFORMATION SYSTEMS, AND TECHNOLOGY

- Roger Egolf, Chair
- Eric Walker
- Fred J. Aecki
- Robert Bridges
- Mary Beth Clark
- Barbara Dewey
- Joseph L. Enama
- Matthew Krott
- Michael Kubit
- Anna L. Mazzucato
- John Messner
- Terry O'Heron
- Barry Pawloski
- Jacqueline Reid-Walsh
- Jennifer Sparrow
- Chelsey Wood
- Eric A. Walker
SENATE COMMITTEE ON UNDERGRADUATE EDUCATION

Summary of Petitions by College, Campus, and Unit 2016-2017

(Informational)

The Senate permits students to petition for exceptions to the Senate academic rules found in the Policies and Rules for Undergraduate Students. Exceptions to these policies are the responsibility of the Senate Committee on Undergraduate Education. The committee reports annually to the Senate on student petition actions. This report provides a summary of petitions by colleges and campuses.

The petition provides an opportunity for the student to receive consideration on extenuating circumstances affecting his/her progress. A petition typically contains a letter and transcript from the student, and supporting documents from advisers, instructors, physicians, or other appropriate professionals. The final decision by the Subcommittee on Academic Standards represents an effort to weigh the personal circumstances of the individual while maintaining the academic standards of the University.

There are many factors that can cause the number of student petition submissions to vary from year to year, and this is normal. Every student petition is unique and students submit petitions based on extenuating circumstances beyond their control that affected their academic performance. Fluctuations in numbers of petitions submitted is a reflection of the types of issues student are dealing with at a certain point in their academic career, and in their personal lives. Note that the total number of petitions decreased for 2016-2017. Retroactive late drops specifically decreased by 277 petitions. When the Senate approved the elimination of the late drop credit limit, effective fall 2016 semester, the Faculty Senate, in collaboration with the Division of Undergraduate Studies, and the Office of Undergraduate Education developed an expedited approval process for retroactive late drop petitions with the following guidelines:

Petitions that requested to exceed the late drop credit limit for a semester/session no earlier than Fall 2015 and where the students provide clear evidence that they intended to late drop within the proper deadline for doing so should be allowed to exceed the former credit limit as the legislation intends (16 for undergraduates in baccalaureate programs and 10 for non-degree, degree-seeking provisional, or undergraduates in an associate degree program).

The number of petitions handled using this expedited process was 203 retroactive late drop petitions.

Also, as a direct result of the policy change that eliminated the late drop credit limit, there is naturally a drop in the number of total retroactive late drop petitions for 2016-2017 because students no longer have to limit the number of late drops they utilize over their academic career. Therefore, this negated the need for some students to petition when they couldn’t late drop due to exhausting their late drop credits. This decrease was expected. Data shows that for the five years prior to the 2015-2016 academic year, the percentage of retroactive late drop petitions that also included a request to exceed the late drop credit limit was consistently between 28% and 32% of the total number of retroactive late drop petitions submitted.

Another factor in the reduction in petition numbers for 2016-2017 is a new requirement for retroactive withdrawals. In March 2016, the Senate Office in collaboration with the Offices of
Student Aid, Global Penn State, and the Division of Undergraduate Studies, created two new forms that are now required to be included in every retroactive withdrawal petition. These forms were developed to help avert financial hardships that can occur when students have a petition approved for retroactive withdrawal from one or more terms. The implementation of these forms requires that before submitting a petition, students explore consequences that could occur if their retroactive withdrawal is approved, such as the loss of federal student aid for domestic students, and issues with visa status and sponsorship for international students. Since these new forms were implemented late in the spring 2016 semester, the 2016-2017 academic year is the first year to demonstrate the full effects of using these forms.

Decreases in other categories (e.g. late registration) are less likely to be related to changes in policy directly and will continue to be monitored over time. Mental health issues comprised a large portion (42%) of overall submissions, which is consistent with past numbers (see Table 6). Following the “Summary of Petitions” is an analysis of 2016-2017 petitions by petition type with reasons for submission and denial.

SENATE COMMITTEE ON UNDERGRADUATE EDUCATION

- Andrew Ahr
- Jonna Belanger
- Gretchen Casper
- Theodore Cios
- Delia Conti
- Joyce Furfaro (Vice Chair)
- Yvonne Gaudelius
- David Han
- Peter Heaney
- Karen Henninger
- Peggy Johnson
- Peter Linehan
- Karen Pollack
- Vansh Prabhu
- Janina Safran
- George Samuel
- Elizabeth Seymour (Chair)
- Keith Shapiro
- David Smith
- Michele Stine
- Samia Suliman
**TABLE #1: COMPARATIVE SUMMARY OF PETITIONS**

**2015-2016; 2016-2017**

*Data for the 2015-2016 academic year may be slightly different than in previous reports due to ongoing process updates and subsequent data entry corrections.*

**There was an increase in the number of petitions for 2015-2016 partly due to Senate approval of the elimination of the late drop credit limit on October 27, 2015.**

**NOTE:** Data represents the total number of petitions submitted for each academic unit. These numbers include specialized petitions where applicable (i.e., World Campus, eLion/LionPATH, Trauma, and Appeal petitions).

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Agricultural Sciences</td>
<td>33</td>
<td>1.7</td>
<td>24</td>
<td>7</td>
<td>2</td>
<td>36</td>
<td>-8%</td>
</tr>
<tr>
<td>Arts and Architecture</td>
<td>12</td>
<td>1.1</td>
<td>12</td>
<td>0</td>
<td>0</td>
<td>30</td>
<td>-60%</td>
</tr>
<tr>
<td>Business</td>
<td>49</td>
<td>0.9</td>
<td>32</td>
<td>13</td>
<td>4</td>
<td>54</td>
<td>-9%</td>
</tr>
<tr>
<td>Communications</td>
<td>61</td>
<td>2.4</td>
<td>41</td>
<td>16</td>
<td>4</td>
<td>122</td>
<td>-50%</td>
</tr>
<tr>
<td>Div. of Undergrad. Studies</td>
<td>106</td>
<td>2.7</td>
<td>69</td>
<td>35</td>
<td>2</td>
<td>79</td>
<td>34%</td>
</tr>
<tr>
<td>Earth and Mineral Sciences</td>
<td>83</td>
<td>4.1</td>
<td>51</td>
<td>29</td>
<td>3</td>
<td>113</td>
<td>-27%</td>
</tr>
<tr>
<td>Education</td>
<td>5</td>
<td>0.4</td>
<td>5</td>
<td>0</td>
<td>0</td>
<td>24</td>
<td>-79%</td>
</tr>
<tr>
<td>Engineering</td>
<td>140</td>
<td>1.7</td>
<td>91</td>
<td>43</td>
<td>6</td>
<td>158</td>
<td>-11%</td>
</tr>
<tr>
<td>Health and Human Dev.</td>
<td>89</td>
<td>2.1</td>
<td>59</td>
<td>27</td>
<td>3</td>
<td>91</td>
<td>-2%</td>
</tr>
<tr>
<td>Information Sci. &amp; Tech.</td>
<td>27</td>
<td>2.1</td>
<td>16</td>
<td>10</td>
<td>1</td>
<td>21</td>
<td>29%</td>
</tr>
<tr>
<td>Liberal Arts</td>
<td>163</td>
<td>3.4</td>
<td>109</td>
<td>50</td>
<td>4</td>
<td>271</td>
<td>-40%</td>
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<tr>
<td>Nursing</td>
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<td>0.4</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>7</td>
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<tr>
<td>Science</td>
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<td>43</td>
<td>16</td>
<td>1</td>
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<td>-37%</td>
</tr>
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<td>Abington</td>
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<td>25</td>
<td>1</td>
<td>60</td>
<td>-7%</td>
</tr>
<tr>
<td>Altoona</td>
<td>32</td>
<td>0.9</td>
<td>23</td>
<td>8</td>
<td>1</td>
<td>55</td>
<td>-42%</td>
</tr>
<tr>
<td>Berks</td>
<td>41</td>
<td>1.4</td>
<td>29</td>
<td>10</td>
<td>2</td>
<td>35</td>
<td>17%</td>
</tr>
<tr>
<td>Erie</td>
<td>61</td>
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<td>45</td>
<td>15</td>
<td>1</td>
<td>79</td>
<td>-23%</td>
</tr>
<tr>
<td>Harrisburg</td>
<td>71</td>
<td>1.7</td>
<td>43</td>
<td>24</td>
<td>4</td>
<td>84</td>
<td>-15%</td>
</tr>
<tr>
<td><strong>University College</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Beaver</td>
<td>8</td>
<td>1.1</td>
<td>4</td>
<td>2</td>
<td>2</td>
<td>6</td>
<td>33%</td>
</tr>
<tr>
<td>Brandywine</td>
<td>20</td>
<td>1.5</td>
<td>17</td>
<td>2</td>
<td>1</td>
<td>23</td>
<td>-13%</td>
</tr>
<tr>
<td>DuBois</td>
<td>4</td>
<td>0.7</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>300%</td>
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<td>Fayette</td>
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<td>1.1</td>
<td>6</td>
<td>1</td>
<td>0</td>
<td>4</td>
<td>75%</td>
</tr>
<tr>
<td>Greater Allegheny</td>
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<td>1.6</td>
<td>7</td>
<td>1</td>
<td>1</td>
<td>8</td>
<td>13%</td>
</tr>
<tr>
<td>Hazleton</td>
<td>6</td>
<td>0.7</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>8</td>
<td>-25%</td>
</tr>
<tr>
<td>Lehigh Valley</td>
<td>10</td>
<td>1.2</td>
<td>9</td>
<td>0</td>
<td>1</td>
<td>11</td>
<td>-9%</td>
</tr>
<tr>
<td>Mont Alto</td>
<td>11</td>
<td>1.2</td>
<td>9</td>
<td>1</td>
<td>1</td>
<td>18</td>
<td>-39%</td>
</tr>
<tr>
<td>New Kensington</td>
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<td>1</td>
<td>0</td>
<td>0</td>
<td>5</td>
<td>-80%</td>
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<tr>
<td>Schuylkill</td>
<td>6</td>
<td>0.8</td>
<td>6</td>
<td>0</td>
<td>0</td>
<td>7</td>
<td>-14%</td>
</tr>
<tr>
<td>Shenango</td>
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<td>0</td>
<td>0</td>
<td>1</td>
<td>100%</td>
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<tr>
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<td>1.0</td>
<td>2</td>
<td>0</td>
<td>3</td>
<td>2</td>
<td>150%</td>
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<tr>
<td>Worthington Scranton</td>
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<td>0</td>
<td>0</td>
<td>12</td>
<td>-75%</td>
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<td>339</td>
<td>50</td>
<td></td>
<td><strong>1541</strong></td>
<td>-23%</td>
</tr>
</tbody>
</table>

*Data for the 2015-2016 academic year may be slightly different than in previous reports due to ongoing process updates and subsequent data entry corrections.*

**There was an increase in the number of petitions for 2015-2016 partly due to Senate approval of the elimination of the late drop credit limit on October 27, 2015.**

**NOTE:** Data represents the total number of petitions submitted for each academic unit. These numbers include specialized petitions where applicable (i.e., World Campus, eLion/LionPATH, Trauma, and Appeal petitions).
## Appendix K

### TABLE #2: 2016-2017 PETITIONS BY UNIT AND CASE TYPE

<table>
<thead>
<tr>
<th>College or Campus</th>
<th>Academic Renewal</th>
<th>Corrected Grade</th>
<th>Course Cancel</th>
<th>Late Add</th>
<th>Late Drop</th>
<th>Late Registration</th>
<th>Registration Cancel</th>
<th>Withdrawal</th>
<th>Other</th>
</tr>
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<tbody>
<tr>
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<td>3</td>
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<td>Arts and Architecture</td>
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<td>4</td>
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<td>0</td>
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</tr>
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<td>3</td>
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<td>1</td>
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<td>0</td>
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<td>1</td>
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<td>0</td>
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<td>0</td>
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<td>0</td>
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<tr>
<td>York</td>
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<td>0</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>0</td>
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<tr>
<td><strong>TOTALS</strong></td>
<td><strong>4</strong></td>
<td><strong>22</strong></td>
<td><strong>11</strong></td>
<td><strong>72</strong></td>
<td><strong>585</strong></td>
<td><strong>45</strong></td>
<td><strong>4</strong></td>
<td><strong>426</strong></td>
<td><strong>23</strong></td>
</tr>
</tbody>
</table>

**NOTE:** Data represents the total number of petitions per case type for each academic unit. These numbers include specialized petitions where applicable (i.e., World Campus, eLion/LionPATH, Trauma, and Appeal petitions).
## TABLE #3: INCREASE/DECREASE IN SUBMITTED PETITIONS BY CASE TYPE
### 2015-2016 to 2016-2017

<table>
<thead>
<tr>
<th>Case Type</th>
<th>2015-2016*</th>
<th>2016-2017</th>
<th>% of Increase/ Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Renewal</td>
<td>6</td>
<td>4</td>
<td>-33%</td>
</tr>
<tr>
<td>Corrected Grade</td>
<td>9</td>
<td>22</td>
<td>144%</td>
</tr>
<tr>
<td>Course Cancel</td>
<td>13</td>
<td>11</td>
<td>-15%</td>
</tr>
<tr>
<td>Late Add</td>
<td>54</td>
<td>72</td>
<td>33%</td>
</tr>
<tr>
<td>Late Drop***</td>
<td>862</td>
<td>585</td>
<td>-32%</td>
</tr>
<tr>
<td>Late Registration</td>
<td>65</td>
<td>45</td>
<td>-31%</td>
</tr>
<tr>
<td>Other**</td>
<td>35</td>
<td>23</td>
<td>-34%</td>
</tr>
<tr>
<td>Registration Cancel</td>
<td>6</td>
<td>4</td>
<td>-33%</td>
</tr>
<tr>
<td>Withdrawal</td>
<td>491</td>
<td>426</td>
<td>-13%</td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td><strong>1541</strong></td>
<td><strong>1192</strong></td>
<td><strong>-23%</strong></td>
</tr>
<tr>
<td>World Campus</td>
<td>101</td>
<td>62</td>
<td>-39%</td>
</tr>
<tr>
<td>eLion/LionPATH</td>
<td>41</td>
<td>25</td>
<td>-39%</td>
</tr>
<tr>
<td>Trauma</td>
<td>49</td>
<td>66</td>
<td>35%</td>
</tr>
<tr>
<td>Appeals</td>
<td>36</td>
<td>65</td>
<td>81%</td>
</tr>
</tbody>
</table>

*Data for the 2015-2016 academic year may be slightly different than in previous reports due to ongoing process updates and subsequent data entry corrections.

**Examples of petitions in the “other” category: changing registration of a course to reflect the number of credits completed for internships; changing late drop of a course to an administrative course cancellation.

***There was an increase in the number of retroactive late drop petitions for 2015-2016 partly due to Senate approval of the elimination of the late drop credit limit on October 27, 2015.

**NOTE:**
- A World Campus petition is one that involves requests for courses taken through World Campus.
- An eLion/LionPATH petition is one where a student indicates the unsuccessful use of eLion/LionPATH as the basis of the petition.
- A Trauma petition is one where the student’s circumstances require unusual confidentiality (e.g., the victim of a sexual assault or violent crime).
- An Appeal petition is one where a student provides additional documentation to support a previously denied request.
# TABLE #4: THREE-YEAR SUMMARY OF PETITIONS BY CASE TYPE

<table>
<thead>
<tr>
<th>Academic Year: 2014-2015*</th>
<th>Overall Percentage Granted: 82%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Type</td>
<td>Submitted</td>
</tr>
<tr>
<td>Academic Renewal</td>
<td>7</td>
</tr>
<tr>
<td>Corrected Grade</td>
<td>20</td>
</tr>
<tr>
<td>Course Cancel</td>
<td>9</td>
</tr>
<tr>
<td>Late Add</td>
<td>48</td>
</tr>
<tr>
<td>Late Drop</td>
<td>582</td>
</tr>
<tr>
<td>Late Registration</td>
<td>48</td>
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<tr>
<td>Other**</td>
<td>34</td>
</tr>
<tr>
<td>Registration Cancel</td>
<td>4</td>
</tr>
<tr>
<td>Withdrawal</td>
<td>545</td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td>1297</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Academic Year: 2015-2016*</th>
<th>Overall Percentage Granted: 79%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Type</td>
<td>Submitted</td>
</tr>
<tr>
<td>Academic Renewal</td>
<td>6</td>
</tr>
<tr>
<td>Corrected Grade</td>
<td>9</td>
</tr>
<tr>
<td>Course Cancel</td>
<td>13</td>
</tr>
<tr>
<td>Late Add</td>
<td>54</td>
</tr>
<tr>
<td>Late Drop***</td>
<td>862</td>
</tr>
<tr>
<td>Late Registration</td>
<td>65</td>
</tr>
<tr>
<td>Other**</td>
<td>35</td>
</tr>
<tr>
<td>Registration Cancel</td>
<td>6</td>
</tr>
<tr>
<td>Withdrawal</td>
<td>491</td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td>1541</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Academic Year: 2016-2017</th>
<th>Overall Percentage Granted: 67%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Type</td>
<td>Submitted</td>
</tr>
<tr>
<td>Academic Renewal</td>
<td>4</td>
</tr>
<tr>
<td>Corrected Grade</td>
<td>22</td>
</tr>
<tr>
<td>Course Cancel</td>
<td>11</td>
</tr>
<tr>
<td>Late Add</td>
<td>72</td>
</tr>
<tr>
<td>Late Drop</td>
<td>585</td>
</tr>
<tr>
<td>Late Registration</td>
<td>45</td>
</tr>
<tr>
<td>Other**</td>
<td>23</td>
</tr>
<tr>
<td>Registration Cancel</td>
<td>4</td>
</tr>
<tr>
<td>Withdrawal</td>
<td>426</td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td>1192</td>
</tr>
</tbody>
</table>

*Data for the 2014-2015 and 2015-2016 academic years may be slightly different than in previous reports due to ongoing process updates and subsequent data entry corrections.

**Examples of petitions in the “other” category: changing registration of a course to reflect the number of credits completed for internships; changing late drop of a course to an administrative course cancellation.

***There was an increase in the number of retroactive late drop petitions for 2015-2016 partly due to Senate approval of the elimination of the late drop credit limit on October 27, 2015.
TABLE #5: THREE-YEAR SUMMARY OF SPECIALIZED PETITIONS

Academic Year: 2014-2015*

<table>
<thead>
<tr>
<th>Case Type</th>
<th>Submitted</th>
<th>Granted</th>
<th>Denied</th>
<th>Cncl/Pndg</th>
</tr>
</thead>
<tbody>
<tr>
<td>World Campus</td>
<td>89</td>
<td>81</td>
<td>7</td>
<td>1</td>
</tr>
<tr>
<td>eLion/LionPATH</td>
<td>46</td>
<td>33</td>
<td>12</td>
<td>1</td>
</tr>
<tr>
<td>Trauma</td>
<td>49</td>
<td>49</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Appeals</td>
<td>42</td>
<td>31</td>
<td>11</td>
<td>0</td>
</tr>
</tbody>
</table>

Academic Year: 2015-2016*

<table>
<thead>
<tr>
<th>Case Type</th>
<th>Submitted</th>
<th>Granted</th>
<th>Denied</th>
<th>Cncl/Pndg</th>
</tr>
</thead>
<tbody>
<tr>
<td>World Campus</td>
<td>101</td>
<td>70</td>
<td>27</td>
<td>4</td>
</tr>
<tr>
<td>eLion/LionPATH</td>
<td>41</td>
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<td>14</td>
<td>0</td>
</tr>
<tr>
<td>Trauma</td>
<td>49</td>
<td>49</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Appeals</td>
<td>36</td>
<td>26</td>
<td>10</td>
<td>0</td>
</tr>
</tbody>
</table>

Academic Year: 2016-2017

<table>
<thead>
<tr>
<th>Case Type</th>
<th>Submitted</th>
<th>Granted</th>
<th>Denied</th>
<th>Cncl/Pndg</th>
</tr>
</thead>
<tbody>
<tr>
<td>World Campus</td>
<td>62</td>
<td>37</td>
<td>24</td>
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<tr>
<td>eLion/LionPATH</td>
<td>25</td>
<td>12</td>
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<td>Trauma</td>
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<tr>
<td>Appeals</td>
<td>65</td>
<td>34</td>
<td>24</td>
<td>7</td>
</tr>
</tbody>
</table>

*Data for the 2014-2015 and 2015-2016 academic years may be slightly different than in previous reports due to ongoing updates and subsequent data entry corrections.

NOTE:
- A World Campus petition is one that involves requests for courses taken through World Campus.
- An eLion/LionPATH petition is one where a student indicates the unsuccessful use of eLion/LionPATH as the basis of the petition.
- A Trauma petition is one where a student’s circumstances require unusual confidentiality (e.g., the victim of a sexual assault or violent crime).
- An Appeal petition is one where the student provides additional documentation to support a previously denied request.

NOTE: Numbers of specialized petitions displayed here are also included in the Comparative Summary of Petitions by College/Campus above. Data for specialized petitions is tracked due to specific interest in the numbers of World Campus, eLion/LionPATH, Trauma, and Appeal petitions submitted.
**TABLE #6: FIVE-YEAR SUMMARY OF MENTAL HEALTH RELATED PETITIONS**

**2012-2017**

<table>
<thead>
<tr>
<th></th>
<th>Total Number of Petitions Submitted</th>
<th>% of Mental Health Related Petitions based on TOTAL Number of Petitions Submitted</th>
<th>% of Mental Health Related Petitions based on Number of WITHDRAWAL AND LATE DROP Petitions Submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012-2013</td>
<td>1373</td>
<td>32</td>
<td>38</td>
</tr>
<tr>
<td>2013-2014</td>
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<td>2014-2015</td>
<td>1294</td>
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<td>2015-2016</td>
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<td>33</td>
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</tr>
<tr>
<td>2016-2017</td>
<td>1192</td>
<td>42</td>
<td>49</td>
</tr>
</tbody>
</table>

**NOTE:** Mental Health Related petitions are any that involve mental health issues (e.g., anxiety, depression, Attention Deficit Hyperactivity Disorder (ADHD), and Post-Traumatic Stress Disorder (PTSD)). Generally, mental health related petitions are for retroactive withdrawals and retroactive late drops. Therefore, it is important to reflect these data in the report, along with the percentages of the total number of petitions submitted.
ANALYSIS OF 2016-2017 PETITIONS WITH REASONS FOR SUBMISSION AND DENIAL

Note: Due to students’ multiple reasons for petitioning, numbers will not always total 100%.

REGISTRATION CANCELLATION PETITIONS
3 Granted
0 Denied
1 Cancelled/Pending
4 TOTAL

Reasons for Petition
- *Other: 3 (75%)
- Mental health: 1 (25%)

*Examples of “Other” reasons for petitioning for retroactive registration cancellation would be miscommunications and family conflict.

COURSE CANCELLATION PETITIONS
11 Granted
0 Denied
0 Cancelled/Pending
11 TOTAL

Reasons for Petition
- *Other: 7 (64%)
- Financial difficulties: 1 (9%)
- Mental health: 2 (18%)
- Work/School conflicts: 1 (9%)

*Examples of “Other” reasons for petitioning for retroactive course cancellation would be course overload; student/instructor conflicts; administrative error; and transportation issues.

LATE REGISTRATION PETITIONS
45 Granted
0 Denied
1 Cancelled/Pending
46 TOTAL

Reasons for Petition
- *Other: 11 (24%)
- Financial difficulties: 35 (76%)

*Examples of “Other” reasons for petitioning for retroactive late registration would be confusion about regular and internship scheduling.
LATE ADD PETITIONS
72 Granted
0 Denied
0 Cancelled/Pending
72 TOTAL

Reasons for Petition
- *Other: 67 (93%)
- Financial difficulties: 3 (4%)
- Illness/death of family member or friend: 1 (1%)
- Medical: 1 (1%)

*Examples of “Other” reasons for petitioning for retroactive late add would be administrative error; accidentally dropping course; confusion about adding Internship; Research, ROTC, or Independent Study courses; and student thought department/adviser added course.

CORRECTED GRADE PETITIONS
20 Granted
0 Denied
2 Cancelled/Pending
22 TOTAL

Reasons for Petition
- *Other: 7 (32%)
- Financial difficulties: 1 (5%)
- Illness/death of family member or friend: 1 (5%)
- Medical: 7 (32%)
- Mental health: 6 (27%)
- Work/School conflicts: 1 (5%)

*Examples of “Other” reasons for petitioning for retroactive corrected grade would be Internship time lines; instructor failed to report grade; student/instructor conflicts; and Independent Study completed.
ACADEMIC RENEWAL PETITIONS
2 Granted
1 Denied
1 Cancelled/Pending
4 TOTAL

Reasons for Petition
• *Other: 4 (100%)

*Examples of “Other” reasons for petitioning for academic renewal would be attaining academic renewal prior to the 4-year absence, and attaining academic renewal while having a previous cumulative GPA that was not below 2.00.

Reasons for Denial (1 Denied)
• Insufficient extenuating circumstances: 1 (100%)

LATE DROP PETITIONS
327 Granted
239 Denied
23 Cancelled/Pending
589 TOTAL

Reasons for Petition
• *Other: 185 (31%)
• Financial difficulties: 11 (2%)
• Illness/death of family member or friend: 89 (15%)
• Medical: 141 (24%)
• Mental health: 220 (37%)
• Military: 3 (1%)
• Work/School conflicts: 12 (2%)

*Examples of “Other” reasons for petitioning for retroactive late drop would be confusion about late drop procedure/date; not enough time to evaluate anticipated grade; adjustment issues; family issues; and student/instructor conflicts.

Reasons for Denial (239 Denied)
• Other: 97 (41%)
• College/Campus not supportive: 79 (33%)
• eLion/LionPATH log does not verify events in student letter: 10 (4%)
• Insufficient documentation: 161 (67%)
• Insufficient extenuating circumstances: 42 (18%)
• No reason for not completing action in timely manner: 60 (25%)
• Selective drop: 2 (1%)
• Time frame documented does not match request: 8 (3%)
WITHDRAWAL PETITIONS
310 Granted
104 Denied
21 Cancelled/Pending
435 TOTAL

Reasons for Petition
- *Other: 29 (7%)
- Financial difficulties: 7 (2%)
- Illness/death of family member or friend: 106 (24%)
- Medical: 100 (23%)
- Mental health: 270 (62%)
- Military: 1 (1%)
- Work/School conflicts: 13 (3%)

*Examples of “Other” reasons for petitioning for retroactive withdrawal would be family issues, relationship issues; transportation issues; and relocation.

Reasons for Denial (104 Denied)
- Other: 8 (8%)
- College/Campus not supportive: 31 (30%)
- eLion/LionPATH log does not verify events in student letter: 1 (1%)
- Insufficient documentation: 83 (80%)
- Insufficient extenuating circumstances: 10 (10%)
- No reason for not completing action in timely manner: 14 (13%)
- Selective withdrawal: 5 (5%)
- Time frame documented does not match request: 12 (12%)
MINUTES OF SENATE COUNCIL
Tuesday, January 9, 2018 – 1:30 p.m.
102 Kern Graduate Building


Absent: R. Jolly, R. Shannon, R. Shurgalla, B. Szczygiel

CALL TO ORDER

Chair Woessner called the meeting to order at 1:30 p.m. on Tuesday, January 9, 2018, in 102 Kern Graduate Building.

MINUTES OF THE MEETING OF NOVEMBER 14, 2017

The minutes of the November 14, 2017, meeting were approved.

ANNOUNCEMENTS AND REMARKS

Chair Woessner reported that the Faculty Advisory Committee met this morning with Provost Jones and discussed the following topics:

- Ongoing concerns about faculty raises. Identify the appropriate venue to highlight faculty concerns, both with the administration and the Board of Trustees.

- Update on the progress of the proposed centralized academic integrity policy. Identify a possible timeline to get the recommendations to the Undergraduate Education and Faculty Affairs Committee.

- Update on the electronic student petition system.

- Discussed the new Penn State speaker's policy and its probable impact on free speech.
• Discussed how the administration can support faculty academic freedom in an increasingly fragmented political climate

• Discussed the Liberal Arts Dean search, and the administration's stated commitment to high academic standards

• Updates on Search, Admissions, Strategic Plan, LionPATH and WorkLion

The next regularly scheduled FAC meeting will be held on Tuesday, February 20, 2018. Please submit any topics for discussion at that meeting to elected FAC members Victor Brunsden, Rosemary Jolly, and Galen Grimes or to any of the Senate officers.

Comments by the Executive Vice President and Provost Jones and Vice Presidents/Vice Provosts

Provost Jones discussed the importance of cyber security with many accounts compromised by phishing, when people click on an email that appears to be from a reputable source but is allowing hackers access to the network. The University is beginning a campaign to highlight this issue by sending out mock emails to University employees and if someone clicks on them, they will receive an email explaining the problem of phishing and offer training on detecting suspicious emails. The University systems are also being tightened to filter out more emails determined to be spam or security risks. This could interfere with some legitimate emails. The LionPATH team is making progress on fixing the 10 most annoying problems that have been identified in the system.

Vice Provost for Educational Equity Marcus Whitehurst discussed student activism, and the upcoming Martin Luther King Day of Service that many students and faculty will participate in on January 15.

Vice President of Faculty Affairs Kathy Bieschke announced that Tineke Battle will become Penn State’s first Assistant Vice Provost for Faculty Affairs-Human Resources. Battle will begin her appointment on January 15, 2018. Bieschke also reported that the searches for the Dean of Nursing and the Dean of Health and Human Development are ongoing.

Vice President of Commonwealth Campuses Madlyn Hanes announced that the search for a new chancellor for Penn State Harrisburg is ongoing. She also mentioned that help with support for institutional research for the campuses is available.

Vice President for Undergraduate Education Rob Pangborn, discussed trends in applications and enrollment. He also reported that the search for the position of Assistant Vice President for Undergraduate Education and Executive Director for Students Aid is progressing, with interviews for finalists being scheduled.

Interim Vice Provost for Online Education Renata Engel reported that Penn State World Campus received the most top-10 rankings in US News and World Report’s list of
leading on-line programs. World Campus has also been rated among the best online programs for military students and veterans.

Comments by the Senate Officers

Immediate Past Chair Jim Strauss stated that he was very encouraged by the excellent and open communication between Senators and the Administration.

ACTION ITEMS

A special election was held for a replacement position to serve on the Committee on Committees and Rules for spring, 2018. Keith Shapiro was elected to the position.

DISCUSSION ITEMS

None

REPORT OF GRADUATE COUNCIL

Councilor Eckhardt reported that current discussion in Graduate Council has focused on improving the relationship between supervising faculty and graduate students. Graduate student advising guidelines are being developed. Chair Woessner announced that Graduate Council will have their next meeting on Wednesday, January 17, 2018.

SENATE AGENDA ITEMS FOR JANUARY 23, 2018

FORENSIC BUSINESS

None

UNFINISHED BUSINESS

None

LEGISLATIVE REPORTS

Committees and Rules - Revisions to Bylaws; Article IV – Committees, Section 6. This report was placed on the Agenda on a Wolfe/Brunsden motion.

Curricular Affairs - Guidelines for Academic Program Information Appearing in the University Bulletin. This report was placed on the Agenda on an Eckhardt/Nousek motion.

ADVISORY/CONSULTATIVE REPORTS

Research, Scholarship, and Creative Activity - Proposed Changes to Penn State Policy SY 45, Use of Unmanned Aircraft (“UA”). This report was placed on the Agenda on a Eckhardt/Brunsden motion.
Research, Scholarship, and Creative Activity - Proposed Revisions to Penn State Policy RP06, Disclosure and Management of Significant Financial Interests (formerly RA20). This report was returned to committee for clarification.

INFORMATIONAL REPORTS

Admissions Records, Scheduling, and Student Aid - Annual Report on the Reserved Spaces Program. This report was placed on the Agenda on a Brunsden/Nousek motion. The report will be posted online.

Admissions Records, Scheduling, and Student Aid - Update on LionPATH Implementation. This report was placed on the Agenda on a Rowland/Wolfe motion. Twenty-five minutes was allocated for presentation and discussion.

Elections Commission - University Faculty Census Report 2018-2019. This report was placed on the Agenda on a Rowland/Wolfe motion. The report will be posted online.

Libraries, Information Systems, and Technology - PSU Libraries Collection Budget Report, 2017. This report was placed on the Agenda on an Eckhardt/Smithwick motion. Twenty minutes was allocated for presentation and discussion.

Undergraduate Education - Summary of Petitions by College, Campus, and Unit 2016-2017. This report was placed on the Agenda on a Brunsden/Nousek motion. This report will be posted online.

NEW BUSINESS

None

ADJOURNMENT

Chair Woessner thanked Council members for their attendance and participation. The meeting was adjourned at 3:05 p.m.

Dawn G. Blasko
Executive Director
Date: January 16, 2018

To: All Senators and Committee Members

From: Dawn Blasko, Executive Director

Following is the time and location of all Senate meetings January 22 and 23, 2018. Please notify the University Faculty Senate office and committee chair if you are unable to attend.

MONDAY, JANUARY 22, 2018

6:30 p.m. Officers and Chairs Meeting – 102 Kern Graduate Building
8:15 p.m. Commonwealth Caucus Meeting – 102 Kern Graduate Building

TUESDAY, JANUARY 23, 2018

8:00 a.m. Intercollegiate Athletics – 613 Kern Building

8:30 a.m.

- Committees and Rules – 201 Kern Graduate Building
- Curricular Affairs – 102 Kern Graduate Building
- Educational Equity and Campus Environment – 228A Chambers Building
- Faculty Affairs – 202 Hammond Building
- Faculty Benefits – 213 Business Building
- Intra-University Relations – 504 Agricultural Sciences and Industries Building
- Libraries, Information Systems and Technology – 510A Paterno Library
- Outreach – 114 Kern Building
- Research, Scholarship, and Creative Activity – 502 Keller Building
- University Planning – 324 Agricultural Sciences and Industries Building
9:00 a.m.

Admissions, Records, Scheduling, and Student Aid – 203 Shields Building
Global Programs – 412 Boucke Building
Student Life – 409H Keller Building
Undergraduate Education – 110C Chandlee Lab

11:00 a.m.

Student Senator Caucus – 114 Kern Building

11:15 a.m.

Commonwealth Caucus Meeting - Nittany Lion Inn-Assembly Room

1:30 p.m.

University Faculty Senate – 112 Kern Graduate Building
Date: January 16, 2018
To: Commonwealth Caucus Senators (includes all elected campus senators)
From: Galen Grimes and Nicholas Rowland, Caucus Co-chairs

MONDAY, JANUARY 22, 2018 – 8:15 PM
102 KERN BUILDING

Guest Speaker: Dr. Kent Vrana, Committee Chair, Committee on Committees and Rules
Topic: Possible Change to Senate Leadership Structure (ELECTING A CHAIR AND VICE CHAIR)
Format: Discussion

Join from PC, Mac, Linux, iOS or Android: https://psu.zoom.us/j/280996481
Or iPhone one-tap (US Toll): +16468769923,280996481# or +16699006833,280996481#
Or Telephone:
Dial: +1 646 876 9923 (US Toll), +1 669 900 6833 (US Toll), +1 408 638 0968 (US Toll)
Meeting ID: 280 996 481
International numbers available:
https://psu.zoom.us/zoomconference?m=t2aJ7EVsQD9mD5sG5CC0aFFSLePOvO91

Or an H.323/SIP room system:
H.323:
162.255.36.11 (US East)
Meeting ID: 280 996 481
SIP: 280996481@zoomcrc.com

TUESDAY, JANUARY 23, 2018 – 11:15 AM
ASSEMBLY ROOM, NITTANY LION INN
A buffet luncheon will be provided at 12:15 p.m.

Agenda

I. Call to Order

II. Announcements

III. Committee Reports

IV. Other Items of Concern/New Business

V. Adjournment and Lunch