**THURSDAY, SEPTEMBER 19, 2013**

**Noon – 1:00 p.m.**  
Lunch Presentation: “Strategic Plan Report Card” by Chancellor Randy Woodson  
Winslow Hall Conference Room  
All Trustees, Endowment Board and Executive Officers

**1:00 – 2:30 p.m.**  
Advancement and External Affairs Committee  
Chancellor’s Conference Room (12 Holladay)  
Jimmy Clark, Chair  
Lanier, Mattocks, Mulkey, Prestage, Ramsey

**1:00 – 2:30 p.m.**  
Audit, Risk Management and Finance Committee  
Winslow Hall Conference Room  
Jim Owens, Chair  
Cabaniss, Murphy, Parker, Sall, Ward

**2:30 – 2:45 p.m.**  
Break

**2:45 – 4:15 p.m.**  
Buildings and Property Committee  
Chancellor’s Conference Room (12 Holladay)  
Gayle Lanier, Chair  
Clark, Mattocks, Murphy, Ramsey, Sall

**2:45 – 4:15 p.m.**  
University Affairs Committee  
Winslow Hall Conference Room  
Susan Ward, Chair  
Cabaniss, Mulkey, Owens, Parker, Prestage
FRIDAY, SEPTEMBER 20, 2013
DOROTHY AND ROY PARK ALUMNI CENTER
Parking Will Be Available in Dorothy and Roy Park Alumni Center Parking Lot

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Location</th>
<th>People References</th>
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<tr>
<td>7:00 – 8:00 a.m.</td>
<td>Executive Committee Meeting</td>
<td>Eury Room, Park Alumni Center</td>
<td>Ben Jenkins, Chair, Clark, Lanier, Mulkey, Owens</td>
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<td>8:30 – 9:15 a.m.</td>
<td>Dean’s Briefing – Marvin Malecha, College of Design</td>
<td>Hood Board Room</td>
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FULL BOARD MEETING
DOROTHY AND ROY PARK ALUMNI CENTER BOARD ROOM

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<thead>
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<tr>
<td>9:00 a.m.</td>
<td>Call to Order – Reading of the State Government Ethics Act</td>
<td>Ben Jenkins, Chair</td>
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<td>Roll Call</td>
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<td>Approval of Minutes</td>
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<td>July 10, 2013, Meeting of the Full Board</td>
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<td>Chair’s Report – Ben Jenkins</td>
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<td>Ceremonial Oath for new Trustees</td>
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<td>Update of Activities and Topics of Interest to the Board</td>
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<td>Delegation of Authority for Athletics to Chancellor</td>
<td>TAB 3</td>
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<td>as Required by Atlantic Coast Conference</td>
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<td>Endowment Board Report</td>
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<td>Chancellor’s Report – W. Randolph Woodson</td>
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<td>Update of Activities and Topics of Interest to the Board</td>
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Requires full board approval

Ending time for meeting is approximate
COMMITTEE REPORTS:

■ Audit, Risk Management and Finance Committee  
  Jim Owens, Chair  
  On the Agenda: Committee, Board Approvals; and Informational Items  
  — Review of Committee Responsibilities as established in revised Bylaws  
  — Review Draft Agenda/Plan of Work for the Year  
  — Review Internal Audit Charter  
  — Approval of Special Obligation Bonds Resolution  
  — Internal Audit Update  
  — Finance and Budget Update  
  — Enterprise Risk Management and Compliance Update

■ Buildings and Property Committee  
  Gayle Lanier, Chair  
  On the Agenda: Committee Approvals; Informational Reports  
  — Committee Responsibilities and Procedures  
  — 2013-2014 Committee Plan of Work  
  — Property Matters  
    — Disposition by Severance: Demolition of trailer at 3227 Ligon Street that formerly housed Modular Dinoflagellate Facility. The trailer is in poor condition and no longer serves the University  
    — Designer Selections  
      — Reynolds Coliseum Renovations CMR – Central Campus  
      — Watauga Hall HVAC & Chiller Replacement – North Campus  
      — Energy Performance Contract 4 – North, Central, Centennial Campuses  
    — Centennial Campus Substation Expansion  
    — Approval of Designer Selections Less Than $500,000  
  — Acceptance of Completed Buildings and Projects  
  — Site Review and Approval  
    — Reynolds Coliseum Renovation -- Central Campus  
  — Approval of Plans and Specifications of Formal Projects less than $2 Million  
  — Informational Reports  
    — The All-Encompassing Classroom: A Facilities Division Initiative  
    — Centennial Campus Update  
    — Facilities Condition Assessment Program Update  
    — Capital Projects Update  
    — Status of Projects in Planning

* Requires full board approval  
* Ending time for meeting is approximate
University Advancement and External Affairs Committee  
Jimmy Clark, Chair  
On the Agenda: Board, Committee Approvals; Informational Reports  
— Review Work Plan for FY’14  
— Fund Raising Report – FY’13  
— JC Raulston Arboretum Facilities Naming Plan  
— External Affairs Update  
— Campaign Priorities  
Closed Session: Request for Naming of University Facilities

University Affairs Committee  
Susan Ward, Chair  
On the Agenda: Board, Committee Approvals; Informational Reports  
— Review of Committee Responsibilities  
— 2013-2014 Committee Plan of Work  
— Fall 2013 Enrollment Report  
— Annual Report on Intercollegiate Athletics  
— Revisions to Policy 11.35.01: Code of Student Conduct  
— Revisions to Policy 04.25.05: Equal Opportunity and Non-Discrimination  
— Revisions to Policy 04.20.06: Interpersonal Relationships  
— Revisions to Policy 05.20.01: Appointment, Reappointment, Promotion and Permanent Tenure  
— Request for Change in degree title for B.S. in Wood Products (New Title: B.S. in Sustainable Materials and Technology)  
— Request for Authorization to Plan a New Degree Program: Professional Doctorate in Design  
— December 2013 Commencement Speaker  
— Student Body President Report  
— Provost Update  
— Closed Session

Faculty Senate Report  
David Zonderman, Chair

Staff Senate Report  
Ryan Hancock, Chair

Items of Interest to Members of the Board

Motion to go into Closed Session

CLOSED SESSION

Requires full board approval
Ending time for meeting is approximate
Agenda

- Reconvene in OPEN SESSION for Any Additional Items to Come Before the Board

11:00 a.m.*  ■  Adjourn

☑  Requires full board approval
*  Ending time for meeting is approximate
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY

Executive Committee
7:00 – 8:00 a.m, September 20, 2013
Eury Room, Park Alumni Center
Ben Jenkins, Chair
Members: Clark, Lanier, Mulkey, Owens

AGENDA

CALL TO ORDER
Reading of Conflicts of Interest
Ben Jenkins, Chair

CHAIR'S REPORT
Chair Jenkins

UPDATE ON VICE CHANCELLOR FOR ADVANCEMENT SEARCH
Chancellor Woodson

ADJOURN
The North Carolina State University Board of Trustees met in regular session in the Hood Board Room of the Dorothy and Roy Park Alumni Center on Centennial Campus, Raleigh, NC, on Wednesday, July 10, 2013. Chair Barbara Mulkey presided.

Chair Mulkey called the meeting to order at 4:30 p.m. She reminded all members of their duty to avoid conflicts of interest and appearances of conflicts of interest under the State Government Ethics Act and inquired as to whether there were any known conflicts of interest or appearances of conflict with respect to any matters coming before the board at this meeting. There being none, Chair Mulkey then called on Assistant Secretary PJ Teal for the roll call.

ROLL CALL
Assistant Secretary PJ Teal called roll and certified that a quorum was present.

MINUTES
Ms. Ward made the motion, seconded by Dr. Owens, to approve the open and closed session minutes of the April 19, 2013 meeting of the full board. The motion carried.

OATH OF OFFICE FOR NEW MEMBERS
Outgoing Chair Mulkey introduced Franklin Freeman, former Associate Justice on the North Carolina Supreme Court, to execute the oath of office to new members, Tom Cabaniss and Ron Prestage. Mr. Freeman is a colleague of Tom Cabaniss.
ELECTION OF OFFICERS
Outgoing Chair Mulkey presented the following slate of officers:

- Ben Jenkins, Chair
- Jim Owens, First Vice Chair
- Jimmy Clark, Second Vice Chair
- Gayle Lanier, Secretary
- PJ Teal, Assistant Secretary

Outgoing Chair Mulkey called for nominations from the floor. There being none, Mr. Mattocks made the motion to approve the slate of officers as presented; Mr. Sall seconded the motion. The motion carried.

CHAIR’S REPORT
Chair Jenkins thanked the board for their confidence in his leadership. He went on to express how honored he is for the privilege of leading this Board. Chair Jenkins explained how proud he is of the accomplishments of NC State and of the leadership of the university. Chair Jenkins went on to summarize some of the proposed changes to the bylaws:

- Audit Finance and Planning Committee will now be Audit, Risk Management and Finance. Included in this revised committee’s delegated authority is the responsibility to provide oversight of the risk management and compliance functions.
- With this proposal, University Affairs would have the additional responsibility for recommending tuition and fees, strategic planning and review of the university mission statement.
- In addition, the University Advancement Committee will become Advancement and External Affairs. This committee will receive legislative reports and information.
- The Executive Committee will serve as the Compensation Committee. The Executive Committee will meet regularly to review where NC State stands in comparison to our peers.
- The revision calls for a change to the posting requirements for special meetings.

Chair Jenkins called for a motion to approve the revision of the Bylaws. Ms. Ward made the motion, seconded by Mr. Clark, to approve the revision of the Bylaws. The motion carried.

Chair Jenkins asked board members to hold the evening of September 18 to recognize outgoing trustees.

CHANCELLOR’S REPORT-W. RANDOLPH WOODSON
Chancellor Woodson began by thanking Barbara Mulkey for her service as chair for the past two years. Chancellor Woodson then reported the following:

College of Sciences officially replaced the College of Physical and Mathematical Sciences. The move will foster better interdisciplinary educational opportunities, improved research collaboration and more efficient support operations.
The Inventors Hall of Fame inducted Dr. Donald Bitzer, Distinguished University Research Professor of Computer Science, whose members include Thomas Edison, Steve Jobs, Alexander Graham Bell, as well as Wilbur and Orville Wright. Dr. Bitzer co-invented the flat plasma display panel. Bitzer also received an Emmy for his invention.

STEM Ranking of NC State with other land-grant institutions is reported by U.S. News and World Report as No. 1. In 2012 NC State conferred 48 percent of its degrees in those fields.

Alumni Recognition was given to Christina Hammock who was selected as part of NASA’s Astronaut class of 2013. It was noted that Dr. Richard Linnehan, professor of clinical medicine at NC State’s College of Veterinary Medicine, is also a NASA astronaut, and is NASA’s only veterinarian trained for space flight.

Chancellor Woodson reviewed final steps to the state budget as follows:
- House and Senate budget provisions that differ go to the conference committee,
- The conference committee budget requires approval by both the House and Senate,
- The General Assembly submits budget to the Governor,
- The ratified budget is certified by NC Office of State Budget and Management, and
- The UNC Board of Governors determines allocation to each university.

The anticipated impact summary was presented by Chancellor Woodson as follows:
- Approximately a 5% recurring budget reduction.
- A possible reversion if tax receipts decline.
- No legislative salary increase, with additional restrictions.
- Limited renovation and repair funding.

Chancellor Woodson gave his final thoughts on the budget saying that NC State has sustained repeated budget cuts, and he is committed to working with the General Assembly.

COMMITTEE REPORTS
University Affairs Committee-Chair Susan Ward

Chair Ward reported that the committee received notifications and updates from the Provost to include the proposal of new graduate certificates for the 2013-14 academic year in the following: Nanobiotechnology, Upstream Biomanufacturing, Downstream Biomanufacturing and Professional Communication and Managerial Skills, which will include courses from both the College of Humanities and Social Sciences as well as the Poole College of Management.

Ms. Ward stated that the committee was also notified of the progress being made with the Chancellor’s Faculty Excellence Program which will ultimately hire 38 new faculty (43 faculty including opportunity hires and a faculty line added by College of Education) in 12 cluster areas. Ms. Ward reports that to date, there have been 23 acceptances and 1 offer is pending. All of the clusters have hired at least one faculty member. The hiring of the remaining faculty will continue in the 2013-14 academic year, and all positions should be filled by Fall 2014.
Ms. Ward reported that the College of Sciences was officially launched on July 1, 2013. The College combines the programs of the College of Physical and Mathematical Sciences with several of the biological sciences programs from the College of Agriculture and Life Sciences and will be NC State’s third largest college. Ms. Ward added that the college is comprised of 4,000 students; 575 faculty; staff and postdoctoral researchers; six departments (chemistry; marine, earth and atmospheric sciences; math; physics; a statistics department shared with the College of Agriculture and Life Sciences; and a new department of biological sciences).

Ms. Ward said that as a result of the formation of the College of Sciences and the subsequent realignment of faculty between the Colleges of Agriculture and Life Sciences (CALS) and the Sciences, the CALS Departments of Biology, Genetics, Microbiology and Toxicology were eliminated, the Department of Applied Ecology was created and the Department of Plant Biology was renamed the Department of Plant and Microbial Biology, all effective July 1, 2013.

Ms. Ward stated that in closed session, the committee approved conferral of tenure to 7 new faculty hires and appointments of 3 faculty members to Distinguished Professorships supported by the Distinguished Professorship Endowment Trust Fund. The committee further recommended for approval by the Board of Governors, salary increases that are greater than 15% and $10,000 from each employee’s previous June 30 salary.

With no further business in open session, the meeting was adjourned at 5:30 p.m.

Respectfully submitted,

______________________     ______________________
Assistant Secretary    Secretary

Approved:

______________________
Chair of the Board
In accordance with the State Government Ethics Act, it is the duty of every [Board] member to avoid both conflicts of interest and appearances of conflict.

Does any [Board] member have any known conflict of interest or appearance of conflict with respect to any matters coming before the [Board] today?

If so, please identify the conflict or appearance of conflict and refrain from any undue participation\(^2\) in the particular matter involved.

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\(^1\) N.C.G.S. §138A-15 (e): “At the beginning of any meeting of a board, the chair shall remind all members of their duty to avoid conflicts of interest and appearances of conflict under [Chapter 138A].” There is no set language required by the Act. Specific language can and should be tailored to fit the needs of each covered board as necessary.

\(^2\) “A public servant shall take appropriate steps, under the particular circumstances and considering the type of proceeding involved, to remove himself or herself to the extent necessary, to protect the public interest and comply with this Chapter, from any proceeding in which the public servant’s impartiality might reasonably be questioned due to the public servant’s familial, personal, or financial relationship with a participant in the proceeding.” See N.C.G.S. §138A-36 (c). If necessary, the Chairman or individual member involved should consult with his ethics liaison, legal counsel, or the State Ethics Commission to help determine the appropriate response in a given situation.
Governning Board Certification Form
Academic Year 2013-14

As Chairman of the Governing Board at North Carolina State University, I attest that:

1) Responsibility for the administration of the athletics program has been delegated to the Chief Executive Officer of the Institution.

2) The Chief Executive Officer has the mandate and support of the board to operate a program of integrity in full compliance with NCAA, ACC and all other relevant rules and regulations.

3) The Chief Executive Officer, in consultation with the Faculty Athletics Representative and the Athletics Director, determines how the institutional vote shall be cast on issues of athletics policy presented to the NCAA and the ACC.

Date Presented to the Governing Board: ____________________________

Signed: ____________________________
(Chairman of the Governing Board)

Signed: ____________________________
(CEO of Member Institution)

Please return completed form before October 18, 2013 to:

Commissioner John D. Swofford
Atlantic Coast Conference
4512 Weybridge Lane
Greensboro, NC 27407
The Endowment Fund of North Carolina State University
2013 Annual Report

BACKGROUND
The Endowment Fund of North Carolina State University (Endowment Fund) was created by North Carolina General Statute 116.36, and is reported in the university’s financial statements. The Endowment Fund is subject to review by State of North Carolina auditors as part of their annual university audit.

The Board of Trustees of the Endowment Fund (Board) is responsible for the prudent investment of endowment assets and is subject to NC General Statute 36E “Uniform Prudent Management of Institutional Funds Act” (UPMIFA) as well as any requirements placed on the endowments by contract or donor agreements.

REPORT
The Endowment Fund’s net assets were $331.7 million at June 30, 2013 as compared to $285.4 million at June 30, 2012, an increase of 16.3%. The increase is primarily attributable to net investment gains and appreciation. The net $46.4 million increase includes $45.2 million in net investment gains and appreciation, $5.5 million in gifts and matching, less transfers to other university funds and endowment spending of $5.4 million.

Net assets are made up of cash, directly owned programmatic real estate, and pooled long-term investments. There are 199 endowments, made up of 73 scholarships, 6 fellowships, 73 professorships and 47 endowments with a variety of other purposes. A ten-year historical chart of net asset values is provided below:

![10-Year Summary Net Asset Market Values](chart)

The Endowment Fund’s investable assets of $154.2 million are held with the NC State Investment Fund, Inc. (NCSIF). The Board has adopted the investment objectives of the NCSIF.

During the fiscal year, the NCSIF continued its investment with UNC Management Company (UNCMC). UNCMC provides investment management services to the constituent institutions of the UNC System through a pooled investment vehicle called the UNC Investment Fund (System Fund). As such, the NCSIF has adopted the investment objectives, portfolio composition and specific return targets of the System Fund. NCSIF began investing all non-committed assets with the System Fund effective July 2008 with completion of the transition occurring December 2009 and currently has an 12% membership interest in the System Fund as of June 30, 2013.
In addition to the allocation with the System Fund of $428.7 million as of June 30, 2013, the NCSIF has invested $30.6 million in other private equity funds, $22.7 million in the BlackRock Liquid Policy Portfolio (LPP), $2.3 million in the State Treasurer’s Short-Term Investment Fund (STIF), and $0.7 million in cash.

For the long term, the primary investment objective for the NCSIF is to earn a total return (net of investment and custodial fees), within prudent levels of risk, which is sufficient to maintain in real terms the purchasing power of the NCSIF and to meet the spending needs of the participants. To help meet this investment objective, various asset classes are utilized to offer diversification. The purpose of diversification is to provide reasonable assurance that no single security or class of securities will have a disproportionate impact on the performance of the total fund. The policy target by which the NCSIF monitors performance was adopted from the asset allocation policy of the System Fund.

NCSIF’s actual asset allocation as of June 30, 2013 is as follows:

- Energy & Natural Resources: 6.2%
- Real Estate: 6.6%
- Private Equity: 22.3%
- Long Biased Equity: 29.3%
- Diversifying Strategies: 9.5%
- Fixed Income: 9.9%
- Long/Short Equity: 16.2%

For the fiscal year ended June 30, 2013, the NCSIF experienced a net return of 11.9% compared to the policy benchmark return of 10.5%.

Respectfully submitted,

Board of Trustees of the Endowment Fund of North Carolina State University
Giving Sets New Records for Third Consecutive Year
For the third year in a row, NC State fundraising efforts have hit record-breaking levels. Gifts and pledges for the 2012-2013 fiscal year totaled $198.2 million, a 78 percent increase over last year. Fundraising for the endowment raised nearly $130 million, and the annual giving program collected nearly $2 million. NC State received three eight-figure gifts this year.

NC State Student Health Services Ranked in Top 20 for 2013
Princeton Review Rankings released this summer listed NC State’s Student Health Services at Number 11 in the nation for 2013. Thanks to the hard work of our health center staff, NC State consistently ranks in the top twenty, and we have moved up two spots in the last year. The rankings are based on student survey responses.

Raleigh #1 for Percentage of Engineering-Related Degrees
A recent analysis of statistics on higher education shows that Raleigh, NC awards a larger percentage of Degrees in Engineering and Engineering Technology than anywhere else in the country. Thanks in large part to NC State and our College of Engineering, 17 percent of degrees conferred in Raleigh are awarded in these ever-growing fields, placing our percentage of graduates in engineering-related fields at more than three times the national average.

NC State in Top Five Bang-For-The-Buck Colleges
The Washington Monthly recently named NC State No. 4 among national universities in doing the best job of helping non-wealthy students attain marketable degrees at affordable prices. These rankings looked at schools inclusive of students with modest means and have a graduation rate that exceeds the statistically predicted rate for that school based upon the number of low-income students. It also considers how well students are able to find work and support themselves after graduation. This high ranking is a testament to the value of an education from NC State. In fact, NC State was also ranked in the top 10 schools among all universities.

College of Veterinary Medicine Researcher Develops Cancer-fighting Therapy
Dr. Ken Adler is a cell biologist who studies cell movement in lung diseases. He developed a peptide -- a small protein molecule -- that stopped inflammation of cells, by inhibiting the movement of those inflammatory cells. Adler discovered the peptide stopped lung-cancer cells from moving – or metastasizing in mice. The discovery has some huge implications for improving cancer treatment, since cancer cells can migrate and be difficult to pin down.

Kathryn Meurs Honored for Research on Canine Heart Disease
Kathryn Meurs, associate dean of research and graduate studies in the College of Veterinary Medicine, received the Asa Mays Excellence in Canine Health Research Award for her research on heart disease in dogs. A leader in comparative genetics research, Meurs focuses inherited heart disease, cardiomyopathy, and pharmacogenomics. She is being recognized for her work discovering four mutations that contribute to inherited cardiomyopathies in dogs and cats – one of which was then described in humans as well as the development of genetic tests that help reduce the incidence of heart disease in dogs and cats so that they live longer and are healthier.
NC State Researchers Produce Energy Model Offering Greater Transparency
It is common for computer models to inform policy decisions regarding energy, but what is unusual is for the models to share exactly how they work. An NC State team led by Dr. Joseph DeCarolis strives to do just that, offering an entirely open-source model instead of just sharing the mathematic principles used to craft it. This allows anyone to go back and check their work, making sure that the information provided by their model is correct and that all policy decisions are truly as informed as possible.

NC State Innovation halts spread of “Peanut butter Knuckles”
A group of NC State seniors and recent graduates have created what they call the “Jar with a Twist.” Their work is a jar that allows a user to push its contents higher with use, similar to the way that a deodorant or lip balm tube allows users to push its contents to the top. The idea came up as part of a class project in which the young entrepreneurs wanted to make using peanut butter easier on consumers, but now it has been patented and is receiving national attention from jar-makers, peanut-butter companies, and even cosmetic manufacturers.

A Big Data approach to studying animal migration
Dr. Roland Kays, a zoologist with North Carolina State University and the North Carolina Museum of Natural Sciences, is using GPS tracking along with satellite weather and terrain information to better understand migration patterns of the Galapagos Albatross. The new Environmental-Data Automated Track Annotation (Env-DATA) system can handle millions of data points and serve a hundred scientists simultaneously. Kays says It’s a powerful tool for understanding how weather and land forms affect migration patterns, and it may help answer global questions about how changes to our planet affect animal populations and movement.

White House Honors IEI Director
Anita Brown-Graham, Director of NC State’s Institute for Emerging Issues, was recognized as a White House Champion of Change under President Barack Obama’s “Winning the Future” initiative. She traveled to D.C. to receive the award and to present at an educational workshop for around 200 government, industry, and civic leaders. Brown-Graham said that the recognition brought on by the award raises expectations to an even higher level, and she is excited for the challenge.

NC State Alumnus Odierno Honored for Service to Amateur Football
General Ray Odierno, an NC State alumnus who serves as Army Chief of Staff, has been selected to receive the National Football Foundation’s 2013 Distinguished American Award. The award recognizes an outstanding individual who has maintained an interest in the game, exhibited enviable leadership qualities, and made a significant contribution to bettering amateur football in the United States.
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY

Audit, Risk Management and Finance Committee
1:00 pm – 2:30 pm, September 19, 2013
Winslow Conference Room
Jim Owens, Chair
Members: Cabaniss, Murphy, Parker, Sall, Ward

AGENDA

CALL TO ORDER
Reading of Conflicts of Interest Inquiry

* Approval of Minutes from April 18, 2013 meeting
Committee members will act on a motion to approve minutes as presented.

1. RESPONSIBILITIES OF THE COMMITTEE  TAB 4.1

* Review Committee Responsibilities as established in revised Bylaws 4.1A
Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Business and University Treasurer

* Review Draft Agenda/Plan of Work for the Year 4.1B
Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Business and University Treasurer
Jim Owens, Chair, Audit, Risk Management and Finance Committee

* Review and Approve Internal Audit Charter 4.1C
Cecile Hinson, Director, Internal Audit
Committee members will act on a motion to approve Committee name change in the Charter as presented.

2. CONSENT AGENDA  TAB 4.2

* Approval of Special Obligation Bonds Resolution 4.2A
Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Business and University Treasurer
Committee members will act on a motion to recommend the approval of the Resolution to enable the issuance of special obligation bonds for the projects described.

**********End of Consent Agenda**********
3. INFORMATIONAL REPORTS

* Internal Audit Update  4.3A
Internal Audit
*Cecile Hinson, Director, Internal Audit

* Finance and Budget Update  4.3B
2013 – 2014 Budget and State Appropriations  4.3B1
Finance and Business
*Charles D. Leffler, Vice Chancellor for Finance and Business

Institutional Trust Fund Update  4.3B2
Finance and Business
*Charles D. Leffler, Vice Chancellor for Finance and Business

* Enterprise Risk Management and Compliance Update  4.3C
Overview of University’s Organizational Compliance Program  4.3C1
Chancellor’s Office
*Randy Woodson, Chancellor

Clergy Act Compliance  4.3C2
Office of General Counsel
*Eileen Goldgeier, General Counsel

4. COMMITTEE DISCUSSION  4.4

5. REFERENCE MATERIALS  4.5

ADJOURN
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY

Committee: Audit, Risk Management and Finance Committee

Meeting Date: September 19, 2013

Agenda Item / Issue:
Approval of Minutes

Requested / Required Action:
Committee Approval

Suggested Motion:
Approve minutes as presented
Meeting of Audit, Finance and Planning Committee  
North Carolina State University  
Board of Trustees  
April 18, 2013  

Chair Owens opened the meeting at 12:55 p.m. in the Winslow Hall Conference Room. Committee members present for the meeting were:

Mr. James Owens, Chair  
Mr. Lawrence Davenport  
Ms. Gayle Lanier  
Mr. John Sall  
Mr. Norris Tolson  
Mr. Andy Walsh  

Others present were:

Chancellor W. Randy Woodson  
Dr. Warwick Arden, Provost and Executive Vice Chancellor  
Ms. Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Business and University Treasurer  
Ms. Eileen Goldgeier, General Counsel, Office of General Counsel  
Ms. Tabitha Groelle, University Program Specialist, Treasurer’s Office  
Ms. Cecile Hinson, Director of Internal Audit  
Dr. Marc Hoit, Vice Chancellor, Office of Information Technology  
Mr. Kevin Howell, Assistant to the Chancellor, External Affairs  
Dr. Duane Larick, Senior Vice Provost for Academic Strategy & Resource Management  
Mr. Charles Leffler, Vice Chancellor for Finance and Business  
Dr. Terri Lomax, Vice Chancellor for Research, Innovation and Economic Development  
Mr. Mike Poterala, Deputy General Counsel, Office of General Counsel  
Ms. PJ Teal, Secretary of the University and Assistant to the Chancellor  

Chair Owens reminded all members of their duty to avoid conflicts of interest and appearances of conflicts of interest under the State Government Ethics Act and inquired as to whether there were any known conflicts of interest or appearances of conflict with respect to any matters coming before the Committee at this meeting. Being none, the meeting continued.

Andy Walsh made a motion to approve the minutes from the February 21, 2013 open session meeting as presented. Gayle Lanier seconded. They were approved unanimously.

Mr. Walsh made a motion to approve the minutes from the February 21, 2013 closed session meeting as presented. Lawrence Davenport seconded. They were approved unanimously.

Mary Peloquin-Dodd gave an update on the University debt portfolio. She discussed the mix of outstanding debt, highlighting recent activities impacting the debt portfolio, including the issuance of series 2013A and B bonds in March. Cost savings were in the range of $4.2 million, and a 50 basis point reduction in interest costs. Ms. Peloquin-Dodd also commented on the
University’s recently confirmed stable credit ratings. Chair Owens recommended to all the Trustees that they read the Moody’s report that was in their materials, as it was very informative.

Ms. Peloquin-Dodd continued showing the debt mix and where it is distributed throughout campus. She noted that debt is supported by underlying receipts. She briefly described the capital borrowing plan process and how this is used when trying to calculate future debt, which she also presented. Charles Leffler added that the 10-year capital plan is continually updated and may require additional financing.

Mary Peloquin-Dodd reminded the Committee of their responsibility to annually review NC State University’s associated entities. She reported that a copy of the audit for each associated entity had been provided to UNC – General Administration as required, and copies were available at the table for the Board to review if desired. All audited entities had unqualified opinions. Chair Owens asked if the entities were required to certify to the University that they maintain compliance.Currently this is not done, but it will be considered for the future.

Cecile Hinson presented the Internal Audit Annual Audit Plan for Fiscal Year 2014. The plan includes specific operational and information technology audits and allows time for investigative audits, follow-up of audit issues reported in prior year audit reports, special assignments, and consulting engagements. Ms. Hinson referred to a chart included with the Plan package that shows the effort distribution for audit work is 81% while the remaining 19% effort relates to consulting, special assignments, and audit management/administration. Ms. Hinson provided an outline of the Risk Assessment and Audit Planning process from which the Plan is derived which was diagrammed in a flow chart also included in the Plan package. Mr. Davenport made a motion to accept the Plan as presented, Norris Tolson seconded. The Committee unanimously approved the FY 2014 Audit Plan.

Terri Lomax requested a recommendation from the Committee to the full Board of Trustees to approve a revision to policy POL 10.00.02 – Research Policy. The policy was last revised in 1997. There were many areas that overlapped or contradicted other NC State policies and regulations. Changes included shortening and tightening preamble, deleting sections that were addressed in other policies and regulations, and replacing section to align directly with current UNC- GA policy. Mr. Tolson made a motion to recommend these changes to the full Board for approval. Ms. Lanier seconded. The motion passed unanimously.

Cecile Hinson also provided an update to the Committee on the Internal Audit activities during the past two months. Her update included a detailed status of: (1) progress in completing follow-up and close-out activities on prior audit reports; (2) current audits being conducted, (3) special assignments from UNC- GA including leading the peer review at Fayetteville State University and participation on an audit best practices advisory group, and (4) collaborative efforts with both the State Auditor's office and OIT in a more efficient process for the State Auditor’s IT risk assessment and audit approach on our campus.
Charles Leffler and Mr. Kevin Howell provided information regarding the budget and legislative priorities. The Governor’s budget proposal includes funding increases for new enrollment and building operations, as well as an increase for UNC Strategic plan recommendations. It also includes a 1% salary increase for state employees. There are reductions in funding proposed for the UNC System and repair and renovation funds, and tuition increases. A proposed increase in non-resident tuition would offset a reduction in state appropriations. The exact impact to NC State won’t be known until a final budget is passed by the legislature.

Mr. Howell discussed the schedule for both the Senate and House for the next couple of months. A final budget is expected to be completed by mid-June. He also discussed pending legislation that could impact the University which includes energy savings contract amendments, nonresident scholarships/out of state tuition, Omnibus State IT governance changes, State IT/IP assets, and Students and Administration Equality Act.

Mr. Leffler also mentioned the impact on other revenues, noting that there are a lot of moving parts. The economy continues to lag with job reports and the impact of the sequestration mitigated by American Taxpayer Relief Act reduces federal funding sources.

Marc Hoit presented an IT security update. Data has proliferated in both type and total amount. The population that needs to be protected is increasing and therefore, requires more work to identify key data according to the level of sensitivity. In 2012 there were more than 125 compromised accounts, most often due to unpatched applications. Malicious emails that had attachments or links along with phishing attacks also increased, however many were stopped at the campus gateway.

Security is also a challenge with applications such as Dropbox, Google, ICloud, etc. OIT can no longer control where data is stored and often needs to rely on the end users and vendors to secure data appropriately. Mitigation techniques in place include perimeter defenses such as firewall, VPN, traffic monitoring and identity management. Internal defenses have also been put in place in the form of scans, audits, access control, forced updates, and stronger authentication processes.

Dr. Hoit noted that future plans include physical security such as card access, cameras etc, mandatory security training for new employees and students as well as periodic mandatory security training for all.

He discussed “Front Line” protections. These include regulatory compliance, contingency planning and the need for all staff and students of the University to do their part. Human behavior is often the weakest link.
With no further business, Mr. Davenport made a motion to adjourn, Mr. Walsh seconded, the Committee adjourned at 2:40 p.m.

Submitted by ___________________________________
Secretary to the Committee

Approved _____________________________________
Chair of the Committee
Agenda Item / Issue: 4.1A

Review Committee Responsibilities as established in revised Bylaws

Requested / Required Action:

None

Suggested Motion:

None
Appendix 1

NC State Board of Trustees’ Delegations of Authority, Assignments and Guidelines

I. Audit, Risk Management and Finance Committee Delegated Authority and Assignments

a. Audit

i. Provide oversight of the internal audit function.  
   This responsibility is evidenced by:
   Annual certification letters from Chair of ARMF Committee and Internal Auditor
   Recognition of Internal Auditor reporting responsibility to both the Chancellor and the Chair of ARMF

ii. Review and approve the annual internal audit plan at the beginning of the audit cycle.  
    This responsibility is evidenced by:  
    Annual presentation of audit plan by Director of Internal Audit for approval

iii. Receive quarterly activity reports from the internal auditor.  
    This responsibility is evidenced by:
    Quarterly reports
    Twice yearly updates regarding progress against the audit plan
    Special reports on audit issues or findings

iv. Receive direct verbal and/or written reports from the university’s internal auditor regarding out of the ordinary reviews and findings that may involve senior level university employees, trustees or affiliates.
    This responsibility is evidenced by:
    Quarterly reports include discussion of significant audit issues or findings. Significant findings are be brought to Board’s attention in a timely manner.

v. Review a comparison of the annual internal audit plan to the actual internal audits performed. 
   This responsibility is evidenced by:
Twice yearly update by Internal Auditor regarding progress against the audit plan.

vi. Provide oversight of the annual financial statement audit. 
*See the following items viii and ix.*

vii. Assure that the university is performing self-assessments of operating risks and evaluations of internal controls on a regular basis. 
*This responsibility is evidenced by:*
- Internal Auditor performs continuous risk assessment process year-round which results in twice yearly updated audit plan presented to Committee. 
- Internal Auditor reports annually to the Committee the results of the University’s Assessment of Internal Controls over Financial Reporting letter and summary report which are provided to the State Controller. Further, the Chancellor certifies the institution’s self-assessment activities and results in his annual compliance letter to the President.

viii. Meet with representatives of the State Auditor’s Office to review the annual state auditor’s report and the university’s corrective action, if any. 
*This responsibility is evidenced by:*
- Annual presentation of audited financial statement and management letter

ix. Review audit reports of University-associated entities. 
*This responsibility is evidenced by:*
- Annual presentation of associated entities financial reports

b. Finance. Advise the Chancellor with respect to the development of budget estimates for the university, and with respect to the execution and administration of the budget as approved by the General Assembly and the Board of Governors. 
*This responsibility is evidenced by:*
- Updates on legislative budget situation 
- Information about overall university budget and periodic budget status updates 
- Advisory role regarding specific budget issues 
- Annual update on University Debt

c. Risk Management

i. Provide oversight of the risk management and compliance functions. 
*This responsibility is evidenced by:*
- Receive informational reports as needed regarding risk management and compliance issues that may impact the University.

ii. Receive annual reports on risk management, compliance and legal issues. 
*This responsibility is evidenced by:*
- Annual reports on compliance by Office of General Counsel, Office of Information Technology, and Environmental Health and Public Safety
d. Policy Development

i. Recommend to the Board of Trustees for approval policies regarding the preservation, maintenance and management of institutional trust funds. 
This responsibility is evidenced by:
  - Quarterly updates on investment performance of NC State Investment Fund, Inc.
  - Advisory role regarding debt management
  - Approval of special obligation bond issuance
  - Periodic reports on Institutional Trust Funds

ii. Upon recommendation of the chancellor, recommend to the Board of Trustees for approval policies related to the maintenance of campus security. 
This responsibility is evidenced by:
  - Advisory role and approval of recommendations to full Board regarding Campus Security
Agenda Item / Issue: 4.1B

Review Draft Agenda/Plan of Work for the Year

Requested / Required Action:

Committee discussion, suggestions, revisions.

Suggested Motion:

None
Board of Trustees
North Carolina State University
Audit, Risk Management, and Finance Committee
Proposed Agenda Topics for FY13-14 (listed alphabetically)

SEPTEMBER 2013
*Approval of Bonds/Debt (if needed)
Enterprise Risk Management & Compliance Update
Finance and Budget Update
Internal Audit Charter Review (Annual)
Internal Audit Update
*Minutes Approval
Investment Performance Review
Review of Committee Responsibilities (Annual)
Review of Draft Agenda Items for the Year (Annual)

NOVEMBER 2013
*Approval of Bonds/Debt (if needed)
Enterprise Risk Management & Compliance Update
Finance and Budget Update
Internal Audit Update
Investment Performance Review
*Minutes Approval

FEBRUARY 2014
*Annual Financial Report/Audit (State Auditors attend)
Annual Report on Endowment and Investments (Annual)
Budget/Legislative Priorities
Enterprise Risk Management & Compliance Update
Finance and Budget Update
Internal Audit Report
Internal Audit Update
*Minutes Approval

APRIL 2014
Associated Entities Review (Annual)
Enterprise Risk Management & Compliance Update
Finance and Budget Update
Internal Audit Update
*Internal Audit Yearly Plan Review for FY 2014 (Annual)
Investment Performance Review
*Minutes Approval
University Debt Update (Annual)

Except as noted, all update reports are as needed.

*denotes action item
NC STATE BOARD OF TRUSTEES
AUDIT, RISK MANAGEMENT AND FINANCE COMMITTEE
2013 – 2014 PLAN OF WORK

**September**

- Approval of Bonds/Debts (NC State Pol 01.05.01, Appendix 1, I.b, I.d.i) (as needed)
  
  *Desired outcome and measure of success:* Consider and recommend bond resolution approval to BOT when presented. BOT bond approval

- Budget Outlook/Legislative Priorities (as needed)
  
  *Desired outcome and measure of success:* Receive informational report on Legislative budget priorities and understanding possible impacts to University

- Enterprise Risk Management and Compliance Update (NC State Pol 01.05.1, Appendix 1, I.a.vii, 1.c.i, 1.c.ii)
  
  *Desired outcome and measure of success:* Receive information report of University any known risks,

- Finance and Budget Update (UNC Pol, Ch. 100.1, Appendix 1 (V) (NC State Pol 01.05.1, Appendix 1, l.b, l.d.i)
  
  *Desired outcome and measure of success:* Receive informational reports on budget, institutional trust funds and investments to better understand resources and priorities that impact the University.

- Internal Audit Charter Review (Req by Internal Audit Act)
  
  *Desired outcome and measure of success:* Review the Internal Audit Charter to be compliant with the Internal Audit Act

- Internal Audit Update (NC State Pol 01.05.1, Appendix 1, l.a.iii, l.a.iv, l.a.v)
  
  *Desired outcome and measure of success:* Receive informational reports quarterly on current activity, so that Trustees are aware of any issues that could impact the University. In addition, Trustees would receive bi-annual report on the activities by the Internal Audit Office in reference to the annual plan, and offer guidance when needed.

- Investment Performance Review (NC State Pol 01.05.1, Appendix 1, l.d.i)
  
  *Desired outcome and measure of success:* Inform Trustees of Investment Fund valuation and changes to market affecting the same via written materials provided at each meeting.

- Policy Approvals (NC State Pol 01.05.1, Appendix 1, l.d.ii) (as needed)
  
  *Desired outcome and measure of success:* Recommend appropriate policies to the full Board for approval.

- Review of Committee Responsibilities (Annually)
  
  *Desired outcome and measure of success:* Understand Committee scope and develop an effective plan of work for the year.

**November**

- Approval of Bonds/Debts (NC State Pol 01.05.01, Appendix 1, I.b, I.d.i) (as needed)
  
  *Desired outcome and measure of success:* Consider and recommend bond resolution approval to BOT when presented. BOT bond approval

- Budget Outlook/Legislative Priorities (as needed)
Desired outcome and measure of success: Receive informational report on Legislative budget priorities and understanding possible impacts to University

- Enterprise Risk Management and Compliance Update (NC State Pol 01.05.1, Appendix 1, I.a.vii, 1.c.i, 1.c.ii)
  Desired outcome and measure of success: Receive information report of University any known risks,

- Finance and Budget Update (UNC Pol, Ch. 100.1, Appendix 1 (V) (NC State Pol 01.05.1, Appendix 1, I.b, I.d.i)
  Desired outcome and measure of success: Receive informational reports on budget, institutional trust funds and investments to better understand resources and priorities that impact the University.

- Internal Audit Update (NC State Pol 01.05.1, Appendix 1, I.a.iii, I.a.iv, I.a.v)
  Desired outcome and measure of success: Receive informational reports quarterly on current activity, so that Trustees are aware of any issues that could impact the University. In addition, Trustees would receive bi-annual report on the activities by the Internal Audit Office in reference to the annual plan, and offer guidance when needed.

- Investment Performance Review (NC State Pol 01.05.1, Appendix 1, I.d.i)
  Desired outcome and measure of success: Inform Trustees of Investment Fund valuation and changes to market affecting the same via written materials provided at each meeting.

- Policy Approvals (NC State Pol 01.05.1, Appendix 1, I.d.ii) (as needed)
  Desired outcome and measure of success: Recommend appropriate policies to the full Board for approval.

February

- Annual Financial Report (600.2.4, II., H) (NC State Policy 01.05.1, Appendix 1, I.a.viii)
  Desired outcome and measure of success: Receive a clean audit opinion from the State Auditor’s Office when reviewing the University Financial Statement.

- Annual Report on Endowment and Investments (Annual) (NC State Pol 01.05.1, Appendix 1, I.d.i)
  Desired outcome and measure of success: To provide Committee with more understanding about University Endowment and Investments and progress over time.

- Budget Outlook/Legislative Priorities (as needed)
  Desired outcome and measure of success: Receive informational report on Legislative budget priorities and understanding possible impacts to University

- Enterprise Risk Management and Compliance Update (NC State Pol 01.05.1, Appendix 1, I.a.vii, 1.c.i, 1.c.ii)
  Desired outcome and measure of success: Receive information report of University any known risks,

- Finance and Budget Update (UNC Pol, Ch. 100.1, Appendix 1 (V) (NC State Pol 01.05.1, Appendix 1, I.b, I.d.i)
Desired outcome and measure of success: Receive informational reports on budget, institutional trust funds and investments to better understand resources and priorities that impact the University.

- Internal Audit Report (as required by BOG) (NC State Policy 01.05.1, Appendix 1, I.a.iii, 1.a.v)
  Desired outcome and measure of success: Inform Trustees of Investment Fund valuation and changes to market affecting the same via written materials provided at each meeting.

- Internal Audit Update (NC State Pol 01.05.1, Appendix 1, I.a.iii, I.a.iv, I.a.v)
  Desired outcome and measure of success: Receive informational reports quarterly on current activity, so that Trustees are aware of any issues that could impact the University. In addition, Trustees would receive bi-annual report on the activities by the Internal Audit Office in reference to the annual plan, and offer guidance when needed.

- Policy Approvals (NC State Pol 01.05.1, Appendix 1, I.d.ii) (as needed)
  Desired outcome and measure of success: Recommend appropriate policies to the full Board for approval.

**April**

- Associated Entities Review (NC State Policy 01.05.1, Appendix 1, I.a.ix)
  Desired outcome and measure of success: To inform Committee on the activities and broad overview of annual performance of associated entities as reported to UNC General Administration.

- Budget Outlook/Legislative Priorities (as needed)
  Desired outcome and measure of success: Receive informational report on Legislative budget priorities and understanding possible impacts to University.

- Enterprise Risk Management and Compliance Update (NC State Pol 01.05.1, Appendix 1, I.a.vii, 1.c.i, 1.c.ii)
  Desired outcome and measure of success: Receive information report of University any known risks.

- Finance and Budget Update (UNC Pol, Ch. 100.1, Appendix 1 (V) (NC State Pol 01.05.1, Appendix 1, I.b, I.d.i)
  Desired outcome and measure of success: Receive informational reports on budget, institutional trust funds and investments to better understand resources and priorities that impact the University.

- Internal Audit Update (NC State Pol 01.05.1, Appendix 1, I.a.iii, I.a.iv, I.a.v)
  Desired outcome and measure of success: Receive informational reports quarterly on current activity, so that Trustees are aware of any issues that could impact the University. In addition, Trustees would receive bi-annual report on the activities by the Internal Audit Office in reference to the annual plan, and offer guidance when needed.

- Internal Audit Yearly Plan Review (NC State Policy 01.05.1, Appendix 1, I.a.ii)
  Desired outcome and measure of success: .

- Investment Performance Review (NC State Pol 01.05.1, Appendix 1, I.d.i)
Desired outcome and measure of success: Inform Trustees of Investment Fund valuation and changes to market affecting the same via written materials provided at each meeting.

- Policy Approvals (NC State Pol 01.05.1, Appendix 1, I.d.ii) (as needed)
  Desired outcome and measure of success: Recommend appropriate policies to the full Board for approval.

- University Debt Update (NC State Pol 01.05.1, Appendix 1, I.b, I.d.i)
  Desired Outcome: Receive informational report regarding the University Debt, and debt standings/rating
  Measure of Success: Knowledgeable regarding University Debt, standings and ratings

July
- New Trustee Orientation
Agenda Item / Issue: 4.1C
Review and Approve Internal Audit Charter

Requested / Required Action:
Approve revised Charter

Suggested Motion:
Move to approve Committee name change in Charter as presented.
NC STATE UNIVERSITY INTERNAL AUDIT DIVISION

INTERNAL AUDIT CHARTER

MISSION

The mission of the Internal Audit Division (IAD) is to support the University in the successful achievement of its strategic goals. This is accomplished by serving as an independent partner to University leadership, faculty, and staff in the identification and balancing of their units’ risks through objective, flexible, and proactive audit and consultation services. IAD provides independent evaluation of the effectiveness of risk management, control, and governance processes and makes recommendations for improvement.

SCOPE OF WORK

IAD’s scope of work includes assessing whether:

- Risks are appropriately identified and managed across the University
- University governance processes support the organization’s strategies and objectives
- Financial, process, and information technology controls are effective and efficient
- Policies, regulations, rules, and other guidance and training are consistent in their information, effective, and do not create undue bureaucracy or inefficiencies
- University units are compliant to University, UNC General Administration (GA), State, and Federal requirements, related processes are administered correctly, and issues are recognized and addressed properly and promptly
- Significant financial, managerial, and operating information is accurate, reliable, secure, and timely
- Actions of University personnel are in compliance with policies and applicable laws and regulations
- University resources are acquired economically, used efficiently, and adequately protected
- Quality and continuous improvement are fostered in the University’s processes

**INDEPENDENCE AND ACCOUNTABILITY**

All internal audit activity must be free from undue influence or interference in the selection of activities to be examined, determination of the scope or methodology of work, and in communication of the results in accordance with the international standards of independence as set forth by the Institute of Internal Auditors (IIA).

The Director of Internal Audit (Director) reports functionally and administratively directly to the Chancellor. The Director is also accountable to the Board of Trustees (BOT) through its Audit, Risk Management and Finance, and Planning Committee (Committee) as required by the University of North Carolina (UNC) Board of Governors (BOG) and the IIA standards. The Director communicates and interacts directly and independently with the Committee. In addition, the Director has informational reporting accountability to the Provost and Executive Vice Chancellor and the Vice Chancellor for Finance and Business.

**RESPONSIBILITY**

The Director has the responsibility to ensure IAD achieves the following:

- Maintain compliance with North Carolina General Statute (GS) Chapter 116-40.7 (which establishes the independent audit function at state universities); NC GS Chapter 143, Article 79, The NC Internal Audit Act; and audit-related requirements from the UNC BOG
- Establish a risk assessment process to support the development of a risk-based audit plan and a risk-based approach to individual engagements
- Submit, at least annually, a risk-based audit plan to the Chancellor and the Committee for approval and implement that audit plan
- Continually re-evaluate the audit plan based on changing conditions and emerging issues and revise as necessary to ensure that the highest risk items are given priority
- Consider the scope of work of the external auditors and regulators, as appropriate, for the purpose of providing optimal audit coverage to the organization
- Appropriate and necessary interactions with the various external audit-related governance groups occur as needed, including interactions with UNC General Administration, the state’s Council of Internal Audit, Office of the State Auditor (OSA), Office of the State Controller, and the State Bureau of Investigation
• Appropriate and necessary interactions with the various internal audit and investigation-related units occur as needed, including interactions with Office of the General Counsel, University Police Department, Employee Relations, and Student Conduct
• Investigate suspected fraudulent activities and notify the Chancellor, the Committee, and other management of any significant results; assist OSA or other external investigators with investigation of allegations as necessary
• Issue audit reports or engagement letters as appropriate to the Chancellor and other management summarizing the results of audit or consulting activities
• Report recent activities and high-risk issues to the Committee at regular quarterly meetings
• Perform consulting services, beyond internal auditing’s assurance services, to assist management in meeting its objectives and to proactively address issues
• Coordinate with other control and monitoring functions both internal and external regarding areas such as risk management, compliance, security, legal affairs, environmental health, and external audits and investigations
• Keep the Chancellor, the Committee, the Provost and Executive Vice Chancellor, and the Vice Chancellor for Finance and Business informed of emerging trends and successful practices in the internal auditing profession
• Educate the campus-community on University policies, State and Federal regulations, best practices, and the importance of effective internal controls
• Participate on various committees, compliance task forces, and system development projects to provide guidance, proactively address potential issues and internal control weaknesses, improve inefficiencies, and increase effectiveness
• Evaluate and assess significant University functions and new or changing services, processes, operations, major systems, and control processes coincident with their development, implementation, and/or expansion
• Develop and maintain a continuous improvement and quality assurance program covering all aspects of IAD’s activities
• Perform all their duties in conformance with the international standards of the IIA

**AUTHORITY**

The Director is authorized to:

• Have direct and unrestricted access to senior management and the BOT
• Have (and delegate to the IAD staff as appropriate) unrestricted, independent access to all personnel, units, functions, records, and property relevant to the performance of engagements and risk assessment activities
• Allocate resources, set frequencies, select subjects, determine scopes of work, and apply the techniques required to accomplish audit objectives
• Obtain the necessary assistance of personnel in units of the organization where they perform audits as well as other specialized services from within or outside the organization as needed

The Director and staff of the IAD are **not** authorized to:
- Perform any operational duties for the organization or its affiliates
- Initiate or approve accounting transactions external to the IAD
- Make decisions that are the responsibility of management

Approved by the NC State University Board of Trustees
Audit, Risk Management and Finance and Planning Committee
February 16, 2012 (enter date approved)
Agenda Item / Issue: 4.2A

Approval of Special Obligation Bonds Resolution

Requested / Required Action:

Approval of Bond resolution

Suggested Motion:

Approve motion as presented.
RESOLUTION OF THE BOARD OF TRUSTEES OF NORTH CAROLINA STATE UNIVERSITY AT RALEIGH
APPROVING THE ISSUANCE OF SPECIAL OBLIGATION BONDS

WHEREAS, under Article 3, Section 116D General Statutes of North Carolina (the “Act”) the Board of Governors (the “Board of Governors”) of the University of North Carolina (the “University”) may issue special obligation bonds and bond anticipation notes, in anticipation of the issuance of special obligation bonds, payable from obligated resources to pay the costs of acquiring, constructing or providing a special obligation project at one of the constituent institutions of the University or refunding any obligations previously issued by the Board of Governors;

WHEREAS, North Carolina State University at Raleigh may request the Board of Governors to issue one or more series of bonds (the “Bonds”), the proceeds of which will be applied to improvements related to the Carmichael Locker Room Renovation approved by the North Carolina General Assembly in Chapter 394 of the 2013 North Carolina Session Laws (the “Special Obligation Project”);

WHEREAS Section 116D-26(b) of the Act requires the Board of Trustees of North Carolina State University at Raleigh to approve the issuance of Bonds for the Special Obligation Project;

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of North Carolina State University at Raleigh as follows:

Section 1. Approval of Issuance of Bonds. The issuance of Bonds for the Special Obligation Project is approved.

Section 2. Effective Date. This Resolution is effective immediately.

ADOPTED AND APPROVED this 20th day of September, 2013.

THE BOARD OF TRUSTEES OF NORTH CAROLINA STATE UNIVERSITY AT RALEIGH

By: ________________________________
Assistant Secretary
STATE OF NORTH CAROLINA  )
) ss:
COUNTY OF WAKE  )

I, _________________________, the duly elected Assistant Secretary of the Board of Trustees of North Carolina State University at Raleigh, DO HEREBY CERTIFY that (1) the foregoing is a full, true and correct copy of the Resolution adopted by the Board of Trustees of North Carolina State University at Raleigh at its regular meeting of September 20, 2013 and appearing in the minutes of such meeting, (2) notice of the meeting of the Board of Trustees of North Carolina State University at Raleigh held on September 20, 2013 was sent to each member of the Board, and (3) a quorum was present at the meeting on September 20, 2013 at which time the foregoing Resolution was adopted.

WITNESS, my hand and the seal of North Carolina State University at Raleigh this ___ day of September, 2013.

[SEAL]

________________________________
Assistant Secretary
Agenda Item / Issue: 4.3A
Internal Audit Update

Requested / Required Action:
None

Suggested Motion:
None
### NC State University Internal Audit Division

#### Fiscal Year 2013 Engagement Status

**As of June 28, 2013**

<table>
<thead>
<tr>
<th>Engagement Type/Title</th>
<th>Included in the FY13 Audit Plan?</th>
<th>Audit Status as of 6/28/13</th>
<th>Details and Updates</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Compliance Audits</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Instructional Summer Salary Audit (Payments Against Contract and Grant Projects) - Phase 2</td>
<td>No - Fiscal Year12 Audit Plan</td>
<td>Closed</td>
<td>The objective of the audit was to review the non-instructional summer salary (payments from contracts and grants projects process) from a University, College/Unit, and individual researcher level and evaluate compliance to the process as documented in Federal and University regulations and guidance. Phase 2 testing included reviewing aggregate Summer 2011 non-instructional summer salary payment data for compliance to applicable requirements and for accuracy. Testing also included a comparison of Summer 2011 reports in The Employee Activity Reporting System (TEARS) and effort certification data. Issues were noted relating to the completeness and accuracy of Summer 2011 TEARS reports, payments made in excess of the summer-earnings maximum and inaccurate earnings codes used for summer payments. Report issued 9/07/12. Audit closed. All issues were resolved prior to the draft report.</td>
</tr>
<tr>
<td>Non-Instructional Summer Salary Audit (Payments Against Contract and Grant Projects)</td>
<td>Yes</td>
<td>Return to Continuous RA Process - on FY14 Plan</td>
<td>The objective of the audit includes but is not limited to: *Review of the new regulation and standard operating procedures for comprehensiveness *Analysis of the effectiveness of the new process and related training *Evaluation of compliance to Federal, University, and grant sponsor requirements *Testing the accuracy of summer 2013 effort reporting In January 2012, the audit was placed on hold as corrective actions from the Fiscal Year 2012 Non-Instructional Summer Salary Audit - Phase 1 audit related to training are just now being developed. As a result, non-instructional summer salary training was not provided to faculty and administrative personnel for Summer 2012. This audit will be rescheduled after training has been provided in accordance with the new process for Summer 2013. As of 5/14/13, per HRIM, all faculty scheduled for May non-instructional summer salary payments (in whole or in part from sponsored research) have completed training.</td>
</tr>
<tr>
<td>Procurement of Construction and Design Services</td>
<td>Yes</td>
<td>Return to Continuous RA Process</td>
<td>The objective of the audit is to assess the University's process for construction and design services contracts/agreements to ensure compliance with State statutes and University requirements.</td>
</tr>
</tbody>
</table>
### Financial Audits

<table>
<thead>
<tr>
<th>Engagement Type/Title</th>
<th>Included in the FY13 Audit Plan?</th>
<th>Audit Status as of 6/28/13</th>
<th>Details and Updates</th>
</tr>
</thead>
</table>
| Audit of the 2011 Financial Profile and Indicators Report  | Yes                              | Canceled                   | The objective of the audit was to verify the accuracy of the University's Southern Association of Colleges and Schools (SACS) 2011 Financial Profile and Indicators Report submitted to the Integrated Postsecondary Education Data System (IPEDS) at the end of Fiscal Year 2011.  
In August 2012, the audit was canceled due to a change in SACS requirements; the SACS standard requiring the financial reporting no longer exists. |

### Information Technology Audits

<table>
<thead>
<tr>
<th>Engagement Type/Title</th>
<th>Included in the FY13 Audit Plan?</th>
<th>Audit Status as of 6/28/13</th>
<th>Details and Updates</th>
</tr>
</thead>
</table>
| University Network Firewall Protection Service Audit       | No - Fiscal Year12 Audit Plan    | Complete                   | The objective of the audit was to review University firewall services to ensure appropriate protection of critical computer systems and sensitive data, adherence to University requirements, and external regulatory and compliance mandates. 10 issues were reported related to physical security and environmental protection controls; overall University firewalling policy and strategy; and logical access control and documentation of standards and procedures.  
Report issued 9/13/12. Follow-up activities are already in progress. |
| Office of Information Technology – WolfTech Active Directory: Security and Operational Controls | Yes                              | Complete                   | The objective of the audit was to verify adequate security and effective operational controls for the WolfTech Active Directory service. WolfTech is the official University information technology directory service used for central administration and security of Microsoft-based personal computers and servers deployed across the University. 12 issues were noted related to the overall active directory strategy; physical security; disaster recovery; operational monitoring; technical security weaknesses; and documentation of standard procedures.  
Report issued 2/18/13. Follow-up activities are already in progress. |
| Office of Information Technology – Infrastructure, Systems, and Operations: Virtual Computing Services | Yes                              | In Process                 | The objective of the audit is to evaluate the Office of Information Technology (OIT) Virtual Computing Services (VCS) environment to ensure appropriate implementation of management, process, and technical controls including:  
*Robust infrastructure design and implementation to facilitate scalability, reliability, and availability  
*Adequate configuration management  
*Adequate security controls  
*Appropriate separation of duties |

### Internal Control Audits

<table>
<thead>
<tr>
<th>Engagement Type/Title</th>
<th>Included in the FY13 Audit Plan?</th>
<th>Audit Status as of 6/28/13</th>
<th>Details and Updates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit of Controls Over the Usage of Restricted Gifts</td>
<td>Yes</td>
<td>In Process</td>
<td>The objective of the audit is to evaluate the adequacy and effectiveness of controls over restricted gift expenditures from foundation accounts. A judgemental sample of unit accounts that had restricted gift expenditures in Fiscal Year 2012 will be tested to determine if expenditures follow restrictions set by the donor and are compliant with University guidelines.</td>
</tr>
<tr>
<td>Engagement Type/Title</td>
<td>Included in the FY13 Audit Plan?</td>
<td>Audit Status as of 6/28/13</td>
<td>Details and Updates</td>
</tr>
<tr>
<td>----------------------------------------------------------------</td>
<td>----------------------------------</td>
<td>-----------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Internal Audit Website Security Review</td>
<td>Added</td>
<td>Complete</td>
<td>The objective of the project is to evaluate the Internal Audit website security related to the Internal Audit Hotline.</td>
</tr>
<tr>
<td>Fiscal Year 2013 Quality Assurance and Improvement Program (QAIP)</td>
<td>Added</td>
<td>In Process</td>
<td>QAIP is required by the Institute of Internal Auditor's standards and includes formal on-going self assessment and improvement activities.</td>
</tr>
<tr>
<td>Fayetteville State University (FSU) Quality Assurance Peer Review</td>
<td>Added</td>
<td>In Process</td>
<td>Director leading the Quality Assurance Peer Review at FSU.</td>
</tr>
<tr>
<td>UNC-GA Internal Audit Advisory Team</td>
<td>Added</td>
<td>In Process</td>
<td>Director serving on the UNC-GA Internal Audit Advisory Team. The committee is tasked with assessing and developing ways to implement Internal Audit shared service across the UNC system campuses in accordance with the UNC System Strategic Plan cost savings submitted to the NC Legislature.</td>
</tr>
<tr>
<td>Continuous TeamMate Audit Management Software Enhancements &amp; Optimization</td>
<td>Added</td>
<td>On-going</td>
<td>Continued configuration and optimization of the TeamMate Audit Management Tool.</td>
</tr>
<tr>
<td>Continuous Proactive Automated Controls Checkup (C-PACK) Development-Phase 1</td>
<td>Added</td>
<td>Not Started</td>
<td>Continuous Proactive Automated Controls Checkup (C-PACK) Audit with Data Analysis Software (IDEA).</td>
</tr>
<tr>
<td>Audit of University Physical Building Perimeter Security Access</td>
<td>Added</td>
<td>Canceled</td>
<td>The objective of the audit was to review effectiveness of controls over AllCampus card access to University facilities. The scope of the audit was expanded on 8/16/12 per request of the Vice Chancellor for Finance and Business to review the service’s potential scalability to meet growing demand and increased security needs. 11/19/12 - Audit canceled due to Finance and Business Environmental Health and Public Safety engaging a consultant with the same scope. See Security Master Planning Initiative consulting engagement in Consulting section below.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Special Investigations (i.e., Misuse or Misappropriation of Assets)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCSU Trademark Violation Investigation</td>
</tr>
<tr>
<td>Engagement Type/Title</td>
</tr>
<tr>
<td>-----------------------------------------------------------</td>
</tr>
<tr>
<td>Martin County Cooperative Extension Service (CES) Travel Reimbursement Investigation</td>
</tr>
<tr>
<td>Kenan Institute Expenditure Investigation</td>
</tr>
<tr>
<td><strong>Prior Years Audit Findings Follow-Up</strong></td>
</tr>
<tr>
<td>University Dining</td>
</tr>
<tr>
<td>College of Natural Resources (CNR) - Information Technology (IT) General Controls</td>
</tr>
<tr>
<td>Textile - Information Technology (IT) General Controls</td>
</tr>
<tr>
<td>Engagement Type/Title</td>
</tr>
<tr>
<td>-----------------------</td>
</tr>
<tr>
<td>Granville County</td>
</tr>
<tr>
<td>Audit of the Financial System - General Information Technology (IT) Controls</td>
</tr>
<tr>
<td>Non-Instructional Summer Salary Audit (Payments Against Contract and Grant Projects) - Phase 1</td>
</tr>
<tr>
<td>Cooperative Extension Service (CES) Cumberland County 4-H Investigation</td>
</tr>
<tr>
<td>Engagement Type/Title</td>
</tr>
<tr>
<td>-----------------------</td>
</tr>
<tr>
<td>Security Applications and Technologies Investigation</td>
</tr>
<tr>
<td>Office of the State Auditor (OSA) Investigation– NCSU College of Natural Resources Department of Forestry and Environmental Resources Audit – 90 Day Follow-up Compliance Audit</td>
</tr>
<tr>
<td>Cooperative Extension Service (CES) - Warren County</td>
</tr>
<tr>
<td>Horticulture Department - Misuse of State Assets Investigation</td>
</tr>
<tr>
<td>College of Agriculture and Life Sciences (CALS) Distance Education Investigation</td>
</tr>
<tr>
<td>Engagement Type/Title</td>
</tr>
<tr>
<td>-----------------------</td>
</tr>
</tbody>
</table>
| Department of Electrical and Computer Engineering (ECE) - Allegations of Misuse | No - Fiscal Year09 Audit Plan | Closed | Follow-up issues in prior Internal Audit report. The objective of the audit was to review: purchases of furniture and related items in the Department for compliance with University and State policy; potential misuse of state funds for personal benefit; and departmental internal controls over the purchasing process. The issue noted related to a significant overall lack of departmental internal controls over the Department of ECE’s purchasing process.

Report issued 02/12/2009.

Follow-up complete; audit closed on 6/28/13. |
| Department of Electrical and Computer Engineering (ECE) - Contracts and Grants Audit | No - Fiscal Year09 Audit Plan | Closed | Follow-up issues in prior Internal Audit report. The objective of the audit was to evaluate: the efficiency and effectiveness of departmental management of sponsored research funds; departmental internal controls over contracts and grants; and compliance with Federal, State, and University requirements for sponsored research expenditures. Issues noted included weaknesses in the Department of ECE’s internal controls and business practices as they related to sponsored research projects. Issues were also noted at the College of Engineering and Financial Services Division levels related to the administration of sponsored research projects.

Report issued 2/10/09.

Follow-up complete; audit closed on 6/28/13. |
| Department of Electrical and Computer Engineering (ECE) - Faculty Performance Review Audit | No - Fiscal Year09 Audit Plan | In Process | Follow-up issues in prior Internal Audit report. The objective of the audit was to determine if Departmental practices for reviews of tenure track faculty performance; post tenure performance; and reappointment, promotion, and tenure comply with Departmental, College, and University policies and other guidance. Issues noted related to Department of ECE’s compliance with faculty performance policies and guidance and administration of personnel records.

Report issued 2/10/09. |
| The Future Renewable Electric Energy Delivery and Management Systems (FREEDM) Center | No - Fiscal Year10 Audit Plan | In Process | Follow-up issues in prior Internal Audit report. The objective of the audit was to evaluate general internal controls over business operations including business office, financial transactions, contract and grant compliance, and other administrative activities. Issues related to management opportunities for improvement, compliance to Federal agreement, and internal control weaknesses.

<table>
<thead>
<tr>
<th>Engagement Type/Title</th>
<th>Included in the FY13 Audit Plan?</th>
<th>Audit Status as of 6/28/13</th>
<th>Details and Updates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chemistry Electronic Instrumentation Shop Investigation</td>
<td>No - Fiscal Year11 Audit Plan</td>
<td>In Process</td>
<td>Follow-up issues in prior Internal Audit report. Internally reported investigation regarding employee working secondary employment during University work hours and potential misuse of assets. 5 issues were reported. Allegation of secondary employment unsubstantiated. Allegation of misuse of State assets was substantiated; financial impact was very minimal. Other issues related to non-compliance with NCSU and State secondary employment and purchasing policies and procedures; and inconsistencies in University secondary employment policies, regulations, and guidance. Report issued 7/21/11.</td>
</tr>
<tr>
<td>Student Affairs - Information Technology (IT) General Controls</td>
<td>No - Fiscal Year11 Audit Plan</td>
<td>In Process</td>
<td>Follow-up issues in prior Internal Audit report. The objective of the audit was to evaluate the effectiveness of governance over processes and procedures that apply to the overall Student Affairs IT operations. 10 issues were reported related to IT oversight and strategic planning, IT project management practices; improvements for division-wide IT efficiency and effectiveness; physical and logical security; and procedure documentation. Report issued 6/23/11.</td>
</tr>
<tr>
<td>Follow-up to Office of State Auditor (OSA) Audit Letter Issued to the Vice Chancellor for Information Technology</td>
<td>Yes</td>
<td>Not Started</td>
<td>The objective of the audit was to follow-up on the implementation of corrective actions by OIT relating to recommendations made by the OSA as documented in a letter dated December 18, 2012. The recommendations related to passwords and system administrator access controls and improvement suggestions noted by OSA during the annual financial statement audit. Note: UNC-GA indicated (12/21/12) that actions already taken by University management complied with the audit finding resolution requirements for making significant progress within 90 days of the report issue date. Thus, no additional follow-up reporting to UNC-GA or OSA required. Audit issues remaining open: 2.</td>
</tr>
</tbody>
</table>

### Consulting Engagements

<table>
<thead>
<tr>
<th>Engagement Type/Title</th>
<th>Included in the FY13 Audit Plan?</th>
<th>Audit Status as of 6/28/13</th>
<th>Details and Updates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchase Card Validation Monthly Reporting Program</td>
<td>No - Fiscal Year12 Audit Plan</td>
<td>Closed</td>
<td>This consulting engagement replaced the planned FY12 audit &quot;University-wide: Controls over Purchase Cards&quot;. The Program is a proactive initiative undertaken by the Purchasing Department to contract with D-Warner Group who will provide a monthly data analysis report of all Purchase card transactions. The report will be customized and facilitate enhancing controls, ensuring compliance, and assisting in detection of inappropriate transactions. Internal Audit will monitor the implementation of this program, the benefits obtained, and anticipated improvements in internal controls.</td>
</tr>
<tr>
<td>Office of Information Technology (OIT) - Office of the State Auditor (OSA) Annual Financial Statement Audit</td>
<td>No - Fiscal Year12 Audit Plan</td>
<td>Complete</td>
<td>IT Audit Manager consulted with OIT Security and Compliance during the information system component of the 2012 annual OSA audit of the University financial statements, including reviewing OSA’s recommendations for improvement issued to the Vice Chancellor for Information Technology on December 18, 2012 and reviewing management corrective action plans.</td>
</tr>
<tr>
<td>Administrative Systems Steering and Management Teams</td>
<td>Yes</td>
<td>Complete</td>
<td>Consulted on information technology standards, best practices, and PRRs; consulted on upgrades to Financials System and Human Resources Information System.</td>
</tr>
<tr>
<td>Engagement Type/Title</td>
<td>Included in the FY13 Audit Plan?</td>
<td>Audit Status as of 6/28/13</td>
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</tr>
<tr>
<td>----------------------------------------------------------------</td>
<td>----------------------------------</td>
<td>-----------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Prague Institute Business Operations</td>
<td>No - Fiscal Year12 Audit Plan</td>
<td>Complete</td>
<td>Director consulted with College of Design Dean and Assistant Dean for Business and Finance to assess business operations at the Prague Institute and recommend potential enhancements to processes and technology.</td>
</tr>
<tr>
<td>University Enterprise Risk Management</td>
<td>Yes</td>
<td>Complete</td>
<td>Director was member of University Enterprise Risk Management Advisory Task Force.</td>
</tr>
<tr>
<td>Kenan Institute Conflict of Interest Investigation</td>
<td>Added</td>
<td>Complete</td>
<td>Information Technology (IT) Audit Manager consulting with Office of General Counsel (OGC) on conflict of interest investigation relating to the Kenan Institute. Activities included broad initial email review and preparation for OGC.</td>
</tr>
<tr>
<td>University Business Operations Realignment Steering Team (BORST)</td>
<td>Yes</td>
<td>Complete</td>
<td>Director consulted with BORST as they worked to review, assess, and make recommendations for realignment of the University's business operations.</td>
</tr>
<tr>
<td>Security Master Planning Initiative</td>
<td>Added</td>
<td>Complete</td>
<td>Director consulted on the Security Master Planning Initiative including attendance at planning meeting and reviewing risk assessment activities by consultant.</td>
</tr>
<tr>
<td>University Record Retention</td>
<td>Yes</td>
<td>Complete</td>
<td>Operational Audit manager participates on the University Record Retention guidance development team.</td>
</tr>
<tr>
<td>UNC Finance Improvement and Transformation (FIT) Team</td>
<td>Yes</td>
<td>Complete</td>
<td>Internal Audit participated in GA monitoring visits on campus and followed-up on any issues reported as needed.</td>
</tr>
<tr>
<td>Office of the State Auditor (OSA) Gates Foundation Raleigh Fellows Grant WakeTech Investigation</td>
<td>Added</td>
<td>Complete</td>
<td>Director consulted with OSA in regards to their Gates Foundation Raleigh Fellows Grant WakeTech investigation of allegations against the subrecipient at WakeTech. No issues noted for NCSU.</td>
</tr>
<tr>
<td>Consulting on the Business Operations Centers (BOC) Implementation</td>
<td>Added</td>
<td>In Process</td>
<td>Consulting on BOC implementation at various levels.</td>
</tr>
<tr>
<td>Additional Compensation Working Group</td>
<td>Added</td>
<td>In Process</td>
<td>Audit Director consulting on development of a comprehensive regulation on EPA additional compensation including: updating related regulations or SOPs, ensuring compliance with external requirements and regulations, representing best practices within UNC system and among our peer institutions, and addressing any additional issues that are relevant to effective use and management of additional compensation.</td>
</tr>
<tr>
<td>Southern Association of Colleges and Schools (SACS) - 10 year Accreditation Reaffirmation</td>
<td>Yes</td>
<td>In Process</td>
<td>Director co-chairing the Resources and Control Compliance Team in support of the University's next reaffirmation of SACS accreditation in 2014. Includes drafting reports that will demonstrate NC State's compliance with SACS’ Principles of Accreditation, review of reports drafted by others to ensure consistency, and submission to the SACS Leadership Team.</td>
</tr>
<tr>
<td>Identity and Access Management (IAM)</td>
<td>Yes</td>
<td>In Process</td>
<td>Information technology Audit Manager participation on Office of Information Technology strategic IAM initiative; consulting on IAM standards and best practices.</td>
</tr>
<tr>
<td>Engagement Type/Title</td>
<td>Included in the FY13 Audit Plan?</td>
<td>Audit Status as of 6/28/13</td>
<td>Details and Updates</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>Payment Card Industry Advisory Council</td>
<td>Added</td>
<td>In Process</td>
<td>Information Technology Audit Manager is participating on the University Payment Card Industry Compliance and Review Advisory Committee in a consultive manner to ensure compliance and protection of sensitive credit card data.</td>
</tr>
<tr>
<td>Internal Control Assessment Committee</td>
<td>Yes</td>
<td>In Process</td>
<td>Director is a member of this committee which assesses internal controls across the University to support the University's annual certification to the Office of the State Controller.</td>
</tr>
<tr>
<td>Office of the State Auditor (OSA) College of Education Foreign Travel and Hiring Processes Allegations</td>
<td>Added</td>
<td>In Process</td>
<td>Director consulting with OSA in regards to their investigation of allegations related to the College of Education foreign travel and hiring processes.</td>
</tr>
<tr>
<td>Cooperative Extension Service</td>
<td>Yes</td>
<td>On-going</td>
<td>On-site reviews as necessary. Additional ad hoc consulting at District Meetings as requested. Training provided to West District on November 29, 2012 relating to University policies, best practices in business and financial activities/transactions, use of new Internal Audit self-assessment tools on Internal Audit website, and awareness of common issues.</td>
</tr>
<tr>
<td>University Information Technology Strategic Advisory Committee (ITSAC) &amp; Security Subcommittee</td>
<td>Yes</td>
<td>On-going</td>
<td>Director is a member of the ITSAC committee which focuses on ensuring that the University makes the best possible decisions in advancing the use of technology to meet its mission, vision and goals. The IT Audit Manager and staff consult on various ITSAC subcommittees to ensure adherence to University PRR's and other requirements.</td>
</tr>
</tbody>
</table>
Agenda Item / Issue: 4.3B

Finance and Budget Update
   4.3B1 – 2013-2014 Budget and State Appropriations
   4.3B2 – Institutional Trust Fund Update

Requested / Required Action:

None

Suggested Motion:

None
August 16, 2013

MEMORANDUM

TO: Vice Chancellors and Deans

FROM: Charles D. Leffler, Vice Chancellor for Finance and Business
       Warwick Arden, Provost and Executive Vice Chancellor

SUBJECT: 2013-14 Budget Reduction Allocations

As discussed during the University Council Retreat on August 12, the University is required to absorb a recurring appropriated budget reduction of $21,066,528 for fiscal year 2013-14. Attached is the final budget reduction allocation schedule. It is slightly different than the draft schedule used during the retreat presentation as follows:

- Academic Affairs (budget code 16030 and projects 201000-249000, excluding 202XXX)
  - The recurring Distance Education benefits have been withdrawn from college and unit budgets and transferred to the Personnel Benefits pool line, as communicated in our memo of August 8, 2013.
  - The transfer of budget from CALS to COS is reflected in the base budgets of the two colleges.
  - As a reminder, the total reduction is based on 5% of the total Academic Affairs continuing budget, which will generate slightly more funds than required to meet the UNC-GA budget reduction requirement. The difference will be reallocated to help meet Strategic Plan priorities.

- The Agricultural Research and Cooperative Extension (budget codes 16031 and 16032) budget reduction amounts for each code reflected on the attached schedule are the specific amounts allocated on a pro-rata basis to meet the UNC budget reduction requirement for those budget codes. Reductions are allocated proportionately to CALS and CNR.

As noted during the Retreat, the Academic Affairs reduction amount is based on a 5% state appropriated funds reduction with an adjustment of 0.5% of the base budget, $1,945,941, being prorated to lessen the reduction to the colleges, the Graduate School, DELTA’s Flexible Access budget, and DASA’s credit hour producing units. To offset this adjustment,
reduction amounts for the academic support and administrative units have been increased by that corresponding amount. These adjustments in the allocations are identified on the schedule.

It appears that we will not have the instructions for preparing our budget reduction submission from UNC-GA until next week. However, we recommend you proceed with finalizing your budget reduction plan. Since the final budget reductions reflected on the attached schedule are similar to the amount you were allocated in the preliminary budget reduction planning work, we still anticipate that your budget reduction submission will be due no later than September 6.

A template and related instructions for the submission of your budget reduction plan will be sent to you by the University Budget Office once we receive UNC-GA’s instructions. As you prepare your plan, please be certain to identify each area of reduction with a short descriptive title. It is our impression that there will not be a requirement for an extensive narrative for this submission.

If your reduction plan will require termination of EPA or SPA employees, please contact the Division of Human Resources to discuss required procedures, notification time-frames, and any severance pay obligations. Please remember that SPA reductions in force also require prior approval by the Office of State Budget and Management so allow sufficient time in calculating budget savings for 2013-14. Recurring savings during 2013-14 will have to be supplemented with one-time savings since 12 months of savings will only be possible on positions that have been vacant since July 1, 2013.

From September 9-22, we will review your budget reduction plans, request any additional information or clarification from you, review the reduction plans with the Chancellor, and provide final feedback to you regarding your plan. After that review, you will be notified and can then proceed with implementing your reduction plan.

Please feel free to contact your budget analyst if you have questions about the reduction schedule or completing the template when it is received. Thank you.

cc: W. Randolph Woodson, Chancellor
Steve Keto, Associate Vice Chancellor for Finance and Resource Management
Barbara Carroll, Associate Vice Chancellor for Human Resources
College and Division Business Leads
### Agenda

NC State University

2013-14 Reduction Allocation

Includes State Funds & Tuition receipts

Purpose codes 101, 106, 110, 141, 161, 152, 160, 170, & 180

(Does not include Appropriated Receipts operations)

Revised 8/16/2013

<table>
<thead>
<tr>
<th>OUC</th>
<th>Description</th>
<th>Continuing Budget (State Appropriated and Tuition)</th>
<th>% of Total</th>
<th>Amount</th>
<th>5.00% Reduction</th>
<th>Percent Reduction</th>
</tr>
</thead>
<tbody>
<tr>
<td>02</td>
<td>Vice Chancellor/Provost</td>
<td>$3,741,393</td>
<td>0.79%</td>
<td>$148,675</td>
<td>$32,450</td>
<td>-4.84%</td>
</tr>
<tr>
<td>04</td>
<td>Graduate School</td>
<td>2,607,924</td>
<td>0.53%</td>
<td>103,833</td>
<td>(19,107)</td>
<td>18.43%</td>
</tr>
<tr>
<td>24</td>
<td>Division of Academic and Student Affairs</td>
<td>6,906,122</td>
<td>1.28%</td>
<td>333,911</td>
<td>3,277</td>
<td>-0.11%</td>
</tr>
<tr>
<td>25</td>
<td>NCSU Libraries</td>
<td>27,519,308</td>
<td>5.62%</td>
<td>1,093,560</td>
<td>238,976</td>
<td>1.32%</td>
</tr>
<tr>
<td>32</td>
<td>Division of Enrollment Management</td>
<td>3,385,977</td>
<td>0.69%</td>
<td>134,552</td>
<td>20,404</td>
<td>-0.64%</td>
</tr>
<tr>
<td>33</td>
<td>Distance Education &amp; Learning</td>
<td>27,655,728</td>
<td>5.75%</td>
<td>684,856</td>
<td>(47,568)</td>
<td>-3.91%</td>
</tr>
<tr>
<td>38</td>
<td>Institutional Equity &amp; Diversity</td>
<td>2,022,563</td>
<td>0.41%</td>
<td>80,372</td>
<td>17,564</td>
<td>-6.41%</td>
</tr>
<tr>
<td>39</td>
<td>Office of International Affairs</td>
<td>1,590,138</td>
<td>0.32%</td>
<td>61,997</td>
<td>13,546</td>
<td>-2.11%</td>
</tr>
<tr>
<td>Total Provost/Vice Provost Units</td>
<td>$67,229,397</td>
<td>13.73%</td>
<td>$2,671,556</td>
<td>$548,576</td>
<td>$1,804,132</td>
<td>-4.37%</td>
</tr>
</tbody>
</table>

### Colleges:

<table>
<thead>
<tr>
<th>OUC</th>
<th>Description</th>
<th>Continuing Budget (State Appropriated and Tuition)</th>
<th>% of Total</th>
<th>Amount</th>
<th>5.00% Reduction</th>
<th>Percent Reduction</th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Agriculture and Life Sciences (16030 only)</td>
<td>$17,097,360</td>
<td>3.49%</td>
<td>$679,414</td>
<td>(125,261)</td>
<td>-3.49%</td>
</tr>
<tr>
<td>12</td>
<td>Design</td>
<td>7,042,680</td>
<td>1.31%</td>
<td>285,140</td>
<td>54,391</td>
<td>20.92%</td>
</tr>
<tr>
<td>13</td>
<td>Education</td>
<td>16,603,669</td>
<td>3.40%</td>
<td>662,175</td>
<td>(122,083)</td>
<td>-4.02%</td>
</tr>
<tr>
<td>14</td>
<td>Engineering</td>
<td>67,904,157</td>
<td>13.87%</td>
<td>2,668,369</td>
<td>(497,469)</td>
<td>-1.78%</td>
</tr>
<tr>
<td>15</td>
<td>Natural Resources</td>
<td>8,252,540</td>
<td>1.69%</td>
<td>327,839</td>
<td>(60,461)</td>
<td>17.47%</td>
</tr>
<tr>
<td>19</td>
<td>Humanities &amp; Social Sciences</td>
<td>34,045,896</td>
<td>6.89%</td>
<td>1,352,905</td>
<td>(245,430)</td>
<td>1.79%</td>
</tr>
<tr>
<td>17</td>
<td>College of Sciences</td>
<td>44,761,688</td>
<td>9.14%</td>
<td>1,778,736</td>
<td>(327,940)</td>
<td>1.47%</td>
</tr>
<tr>
<td>18</td>
<td>Textiles</td>
<td>7,633,208</td>
<td>1.57%</td>
<td>305,317</td>
<td>(56,290)</td>
<td>6.29%</td>
</tr>
<tr>
<td>19</td>
<td>Veterinary Medicine</td>
<td>25,734,625</td>
<td>5.26%</td>
<td>1,022,648</td>
<td>(188,542)</td>
<td>1.66%</td>
</tr>
<tr>
<td>20</td>
<td>Poole College of Management</td>
<td>16,351,748</td>
<td>3.34%</td>
<td>648,784</td>
<td>(118,799)</td>
<td>1.79%</td>
</tr>
<tr>
<td>Total Colleges</td>
<td>$245,918,501</td>
<td>50.22%</td>
<td>$8,772,303</td>
<td>(1,801,666)</td>
<td>$7,970,617</td>
<td>-3.24%</td>
</tr>
</tbody>
</table>

### Total Provost and Colleges

$313,148,298

### Other Institutional Support:

<table>
<thead>
<tr>
<th>OUC</th>
<th>Description</th>
<th>Continuing Budget (State Appropriated and Tuition)</th>
<th>% of Total</th>
<th>Amount</th>
<th>5.00% Reduction</th>
<th>Percent Reduction</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Chancellor's Units</td>
<td>$3,304,734</td>
<td>0.67%</td>
<td>$131,323</td>
<td>28,698</td>
<td>-8.49%</td>
</tr>
<tr>
<td>06</td>
<td>Research &amp; Innovation</td>
<td>5,544,611</td>
<td>1.13%</td>
<td>220,343</td>
<td>48,152</td>
<td>22.36%</td>
</tr>
<tr>
<td>08</td>
<td>University Advancement</td>
<td>8,250,694</td>
<td>1.68%</td>
<td>327,865</td>
<td>71,649</td>
<td>100.61%</td>
</tr>
<tr>
<td>09</td>
<td>Extension, Engagement &amp; Econ Dev.</td>
<td>881,258</td>
<td>0.17%</td>
<td>27,072</td>
<td>5,106</td>
<td>2.56%</td>
</tr>
<tr>
<td>27</td>
<td>Office of General Counsel</td>
<td>1,222,066</td>
<td>0.25%</td>
<td>48,652</td>
<td>10,612</td>
<td>22.12%</td>
</tr>
<tr>
<td>4X</td>
<td>Finance &amp; Business</td>
<td>6,387,026</td>
<td>1.24%</td>
<td>2,430,362</td>
<td>535,081</td>
<td>2.23%</td>
</tr>
<tr>
<td>51</td>
<td>Office of Information Technology</td>
<td>24,451,394</td>
<td>4.99%</td>
<td>871,647</td>
<td>212,334</td>
<td>3.11%</td>
</tr>
<tr>
<td>Total Other Institutional Support</td>
<td>$104,842,073</td>
<td>21.41%</td>
<td>$4,166,205</td>
<td>$910,442</td>
<td>$5,076,647</td>
<td>-4.84%</td>
</tr>
</tbody>
</table>

### Total Academic Affairs - 16030

$489,683,828

### Total Cooperative Extension State Appropriated

$38,858,582

### Total University (16030, 16031, 16032)

$584,446,463
2013-14 Allocations – Current Operations

While most of the funding for the Current Operations Budget of each institution comes in the continuation budgets as approved by the General Assembly, some funds for expansions and improvements are appropriated to the Board of Governors for allocation to the institutions. Several reductions mandated by the General Assembly are also appropriated to the Board of Governors for allocation. These items are included in Senate Bill 402 (S.L. 2013-360), “2013 Appropriations Act,” and House Bill 112 (S.L. 2013-363), “Modifications/2013 Appropriations Act,” which makes technical, clarifying, and other modifications to the 2013 Appropriations Act. By statute, the Board is directed to allocate such funds in accordance with its 2013-15 Budget Priorities and in accordance with any specifications in the Appropriations Act and the Joint Conference Committee Report on the Continuation, Expansion and Capital Budgets, dated July 21, 2013. In addition to the appropriations for the 2013-15 Budget Priorities, the General Assembly made a number of adjustments for designated programs in University Operations and Aid to Private Institutions.

The allocations, as applicable, meet all of the directives cited in the Appropriations Act of 2013, the Technical Corrections bill, and the related Joint Conference Committee Report. Many of the changes were made directly to each institution’s continuation budget, however; items that require Board action are shown in the table on the following page and are also designated with an “A” in this document.

It is recommended that the proposed Allocations for Current Operations for 2013-14 be approved. It is further recommended that the President be authorized to make refinements in the interest of accuracy and completeness. It is also recommended that the President be authorized to seek such concurrence as may be required of the Director of the Budget in the allocation of Budget Priorities.
# Recommended Allocations for Items Requiring Board Approval

<table>
<thead>
<tr>
<th>Institution</th>
<th>Management Flexibility</th>
<th>Strategic Directions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Instructional Efficiencies</td>
</tr>
<tr>
<td>ASU</td>
<td>($3,126,554)</td>
<td>($892,497)</td>
</tr>
<tr>
<td>ECU</td>
<td>(6,927,736) *</td>
<td>(1,977,572)</td>
</tr>
<tr>
<td>ECSU</td>
<td>(791,395)</td>
<td>(246,447)</td>
</tr>
<tr>
<td>FSU</td>
<td>(1,105,458)</td>
<td>(344,248)</td>
</tr>
<tr>
<td>NCA&amp;T</td>
<td>(3,557,739)</td>
<td>(677,055)</td>
</tr>
<tr>
<td>NCCU</td>
<td>(2,740,436)</td>
<td>(586,708)</td>
</tr>
<tr>
<td>NCSU</td>
<td>(15,773,719) *</td>
<td>(2,711,098)</td>
</tr>
<tr>
<td>UNCA</td>
<td>–</td>
<td>(261,418)</td>
</tr>
<tr>
<td>UNC-CH</td>
<td>(14,981,141) *</td>
<td>(3,282,319)</td>
</tr>
<tr>
<td>UNCC</td>
<td>(3,920,117)</td>
<td>(1,342,831)</td>
</tr>
<tr>
<td>UNCG</td>
<td>(4,377,419)</td>
<td>(1,071,056)</td>
</tr>
<tr>
<td>UNCP</td>
<td>(1,434,600)</td>
<td>(378,016)</td>
</tr>
<tr>
<td>UNCW</td>
<td>(2,751,505)</td>
<td>(673,232)</td>
</tr>
<tr>
<td>UNCSA</td>
<td>–</td>
<td>(188,961)</td>
</tr>
<tr>
<td>WCU</td>
<td>(2,369,858) **</td>
<td>(559,608)</td>
</tr>
<tr>
<td>WSSU</td>
<td>(967,557)</td>
<td>(473,479)</td>
</tr>
<tr>
<td>NCSSM</td>
<td>–</td>
<td>(133,455)</td>
</tr>
<tr>
<td>UNC-GA</td>
<td>(979,808)</td>
<td>–</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>(65,805,042)</td>
<td>(15,800,000)</td>
</tr>
</tbody>
</table>

* ECU, NCSU, and UNC-CH may allocate the management flex cut across the Health, Agricultural, and AHEC budget codes within the parameters outlined in S.L. 2013-360 (see special provision on pages 3 – 4).

** UNC Arboretum’s reduction is included in Western Carolina University’s budget.
Reductions & Other Adjustments to the University’s Budget by the 2013 Session

Management Flexibility Reduction

The 2013 General Assembly mandated a management flexibility reduction of $65,805,042 to be implemented in 2013-14. The General Assembly also mandated an additional management flexibility reduction of $7,805,302 in 2014-15 for a total of $73,610,344 to be implemented in 2014-15. The allocation of the management flexibility reduction for the University requires action by the Board of Governors.

Section 11.5 of Senate Bill 402 (S.L. 2013-360) mandated that the reductions should not be allocated on an across-the-board basis and also limited reductions to certain programs. It further required the Board of Governors to consider several factors when distributing the reduction. As a result, the level of state appropriation reductions varies across the system.

Given these parameters, the following eight measures were factored into the reduction methodology for the remaining institutions, so that institutions performing well or exceeding peer averages receive a lower reduction.

- Freshman to Sophomore Retention – Campus performance greater than public peer average
- Graduation Rate – Six-year graduation rate greater than public peer average
- Degree Efficiency – Bachelor’s degrees produced per 100 FTE undergraduates greater than public peer average
- UNC FIT Index – UNC FIT score higher than UNC System average
- Weighted E&R Spending per Degree – Education and related spending per degree, weighted for program mix, less than comparable public peer average
- No Tuition – Entities without the ability to charge tuition
- Diseconomies of Scale – Headcount enrollment less than 6,500 students
- Pell Grant Recipients – Greater than 1/3 of North Carolina resident undergraduate students receiving a Pell Grant

The special provision related to the management flexibility reduction follows:

UNC MANAGEMENT FLEXIBILITY REDUCTION

SECTION 11.5.(a) The management flexibility reduction for The University of North Carolina shall not be allocated by the Board of Governors to the constituent institutions and affiliated entities using an across-the-board method but shall be done in a manner that recognizes the importance of the academic missions and differences among The University of North Carolina entities.

Before taking reductions in instructional budgets, the Board of Governors and the campuses of the constituent institutions shall consider all of the following:

(1) Reducing State funding for centers and institutes, speaker series, and other nonacademic activities.
(2) Faculty workload adjustments.
(3) Restructuring of research activities.
(4) Implementing cost-saving span of control measures.
(5) Reducing the number of senior and middle management positions.
(6) Eliminating low-performing, redundant, or low-enrollment programs.
(7) Using alternative funding sources.
(8) Protecting direct classroom services.
The Board of Governors and the campuses of the constituent institutions also shall review the institutional trust funds and the special funds held by or on behalf of The University of North Carolina and its constituent institutions to determine whether there are monies available in those funds that can be used to assist with operating costs. In addition, the campuses of the constituent institutions also shall require their faculty to have a teaching workload equal to the national average in their Carnegie classification.

SECTION 11.5.(b) In allocating the management flexibility reduction, no reduction in State funds shall be allocated in either fiscal year of the 2013-2015 biennium to any of the following:

1. UNC Need-Based Financial Aid.
2. North Carolina Need-Based Scholarship.
3. Any special responsibility constituent institution which has been granted a basic type designation of "Special Focus Institution" under the Carnegie Classification of Institutions of Higher Education.
4. Any special responsibility constituent institution which has been granted a basic type designation of "Baccalaureate Colleges–Arts & Sciences" under the Carnegie Classification of Institutions of Higher Education.
5. Any constituent high school of The University of North Carolina.

SECTION 11.5.(c) The University of North Carolina shall report on the implementation of the management flexibility reduction in subsection (a) of this section to the Office of State Budget and Management and the Fiscal Research Division no later than October 1, 2013. This report shall identify both of the following by campus:

1. The total number of positions eliminated by type (faculty/nonfaculty).
2. The low-performing, redundant, and low-enrollment programs that were eliminated.

Strategic Plan Savings Recommendations

Administrative and Operational Efficiencies

The Board outlined strategic plan savings in the 2013-15 Budget Priorities to reinforce the University’s commitment to be more efficient, accountable, and transparent. The General Assembly reduced funding in anticipation of savings from the implementation of administrative and operational efficiencies, including shared services for residency determination, internal audit, financial aid review, and IT infrastructure; strategic purchasing; span-of-control evaluations; improved business practices; and energy efficiency measures. Reductions of $10,000,000 in 2013-14 and an additional $5,000,000 for a total of $15,000,000 in 2014-15 are mandated in accordance with the Joint Conference Committee Report.

Instructional Efficiencies

The General Assembly reduced funding in anticipation of savings from the implementation of system-wide academic programming measures, including section size guidelines and improved transferability of credits between UNC campuses. Reductions of $15,800,000 in 2013-14 and an additional $5,300,000 for a total of $21,100,000 in 2014-15 are mandated in accordance with the Joint Conference Committee Report.

These efficiency reductions are shown by campus on page 2.

The General Assembly also reduced funding in anticipation of savings from the consolidation of small or duplicative programs within the UNC System. The $1,900,000 recurring reduction will take effect in 2014-15 in accordance with the Joint Conference Committee Report. The reduction will be allocated to UNC-GA, Institutional Programs (BOG Reserve).
Strategic Plan Investments

There were no appropriations for Strategic Plan Investments in response to the Board’s request of $73,500,000 for the following programs: Meeting State’s Education Attainment Goal, Strengthening Academic Quality, Serve the People of North Carolina, and Maximize Efficiencies at a Financially Stable and Accessible University. The General Assembly included the following special provision in the Appropriations Act authorizing the Board to use funds appropriated to the University for the Board’s Strategic Plan. It is recommended that a reduction of $3,000,000 be distributed based on each institution’s proportional share of the adjusted 2013-14 base budget to fund portions of the Strategic Directions priorities. The reduction amounts by campus are shown on page 2. The associated special provision follows:

UNC/STRATEGIC PLAN FUNDS

SECTION 11.13. Of the funds appropriated by this act to the Board of Governors of The University of North Carolina for the 2013-2015 fiscal biennium, the Board of Governors may spend a sum of up to fifteen million dollars ($15,000,000) for the 2013-2014 fiscal year and a sum of up to fifteen million dollars ($15,000,000) for the 2014-2015 fiscal year to implement provisions of The University of North Carolina Strategic Plan as set out in the report “Our Time, Our Future: The University of North Carolina Compact with North Carolina.”

It is recommended that the $3,000,000 be allocated for the following Strategic Plan Priorities:

<table>
<thead>
<tr>
<th>Strategic Plan Priorities</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Early Warning System</td>
<td>$200,000</td>
</tr>
<tr>
<td>College Learning Assessment</td>
<td>200,000</td>
</tr>
<tr>
<td>Alumni and Employer Survey</td>
<td>200,000</td>
</tr>
<tr>
<td>Nontraditional Student Initiatives</td>
<td></td>
</tr>
<tr>
<td>(military, part-way home, transfers)</td>
<td>500,000</td>
</tr>
<tr>
<td>Comprehensive Distance Education Plan for Student Pipelines</td>
<td>300,000</td>
</tr>
<tr>
<td>Course Redesign</td>
<td>500,000</td>
</tr>
<tr>
<td>Teacher Quality Research</td>
<td>200,000</td>
</tr>
<tr>
<td>Student Data Mart</td>
<td>200,000</td>
</tr>
<tr>
<td>Shared Services (development, Defense Applications Group)</td>
<td>500,000</td>
</tr>
<tr>
<td>Strategic Plan Project Management Support</td>
<td>200,000</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$3,000,000</strong></td>
</tr>
</tbody>
</table>

Optional Retirement Program (ORP) Forfeitures

The Board requested an ORP contribution rate increase from 6.84% to 8.0% by 2014-15 with $5,000,000 in 2013-14 and an additional $5,000,000 in 2014-15. The General Assembly did not provide this increase and, as outlined in the Joint Conference Committee Report, reduced UNC’s budget by $4,000,000 annually. The UNC System shall offset this reduction by replacing contributions to the Optional Retirement Program with forfeitures the Program receives under G.S. 135-5.1(b)(5). The reduction will be allocated to UNC-GA, Institutional Programs (BOG Reserve) and it is recommended that the President be authorized to make further allocations.

It is recommended that the reductions described on the previous pages be allocated as listed on the table on page 2.
Other reductions/adjustments are shown in this section that were allocated directly to the continuation budgets of each institution and therefore do not require Board action.

**Tuition Grant for NC Science and Math Graduates**

In accordance with the Joint Conference Committee Report, the phase-out of the UNC tuition grant for graduates of the North Carolina School of Science and Mathematics is completed with a reduction of $1,248,310 in 2013-14 and an additional $1,220,765 in 2014-15. Funds will remain in the budget for 2013-14 to pay tuition for students who graduated from NCSSM in 2010. All funding is eliminated for 2014-15. The reduction will be allocated to UNC-GA, Related Educational Programs.

**Need-Based Financial Aid Funding from Lottery Receipts**

The Board requested that funding for the need-based financial aid program be increased in the amounts of $10,739,329 in 2013-14 and $18,658,063 in 2014-15 from lottery receipts. The General Assembly provided no additional funds for scholarships for 2013-14 and total funding available for 2013-14 will remain at $122,475,842. The General Assembly did make two other changes to this program, described below.

General Fund support was decreased for the program by $27,000,000 on a nonrecurring basis to offset a one-time increase from the Escheat Fund in the same amount. Section 11.1 appropriates these funds. This reduction will be allocated to UNC-GA, Related Educational Programs.

The General Assembly also provided $62,616,281 from the General Fund, the Lottery Fund, and program fund balances for a UNC Need-Based Grant Forward Funding Reserve. $59,859,562 appropriated in 2011 for this purpose will also be transferred to the reserve. This will shift the entire need-based program to forward funding beginning in 2015-16. Sections 6.11 and 11.2 appropriate these funds and establish the reserve. The related financial aid provisions follow:

**USE OF ESCHEAT FUND FOR NEED-BASED FINANCIAL AID PROGRAMS/STUDY SCHOLARSHIPS FOR CHILDREN OF WAR VETERANS PROGRAM**

**SECTION 11.1.(a)** There is appropriated from the Escheat Fund income to the Board of Governors of The University of North Carolina the sum of sixty-four million two hundred eighty-seven thousand two hundred forty-two dollars ($64,287,242) for the 2013-2014 fiscal year and the sum of thirty-seven million two hundred eighty-seven thousand two hundred forty-two dollars ($37,287,242) for the 2014-2015 fiscal year to be used for The University of North Carolina Need-Based Financial Aid Program.

**SECTION 11.1.(b)** There is appropriated from the Escheat Fund income to the State Board of Community Colleges the sum of fifteen million two hundred forty-six thousand three hundred seventy-three dollars ($15,246,373) for the 2013-2014 fiscal year and the sum of sixteen million three hundred thirty-five thousand dollars ($16,335,000) for the 2014-2015 fiscal year to be used for community college grants.

**SECTION 11.1.(c)** There is appropriated from the Escheat Fund income to the Department of Administration, Division of Veterans Affairs, the sum of seven million six hundred nine thousand five hundred ninety-one dollars ($7,609,591) for the 2013-2014 fiscal year and the sum of six million five hundred twenty thousand nine hundred sixty-four dollars ($6,520,964) for the 2014-2015 fiscal year to be used for need-based student financial aid.

**SECTION 11.1.(d)** The funds appropriated by this section shall be allocated by the State Education Assistance Authority (SEAA) for need-based student financial aid in accordance with G.S. 116B-7. If the interest income generated from the Escheat Fund is less than the amounts...
referenced in this section, the difference may be taken from the Escheat Fund principal to reach the appropriations referenced in this section; however, under no circumstances shall the Escheat Fund principal be reduced below the sum required in G.S. 116B-6(f). If any funds appropriated under this section remain uncommitted for need-based financial aid as of the end of a fiscal year, the funds shall be returned to the Escheat Fund, but only to the extent the funds exceed the amount of the Escheat Fund income for that fiscal year.

SECTION 11.1.(e) The State Education Assistance Authority shall perform all of the administrative functions necessary to implement this program of financial aid. The SEAA shall conduct periodic evaluations of expenditures of the scholarship programs to determine if allocations are utilized to ensure access to institutions of higher learning and to meet the goals of the respective programs. SEAA may make recommendations for redistribution of funds to The University of North Carolina, Department of Administration, and the President of the Community College System regarding their respective scholarship programs, who then may authorize redistribution of unutilized funds for a particular fiscal year.

SECTION 11.1.(f) G.S. 116B-7(a) reads as rewritten:

"(a) The income derived from the investment or deposit of the Escheat Fund shall be distributed annually on or before July 15, August 15 to the State Education Assistance Authority for grants and loans to aid worthy and needy students who are residents of this State and are enrolled in public institutions of higher education in this State. Such grants and loans shall be made upon terms, consistent with the provisions of this Chapter, pursuant to which the State Education Assistance Authority makes grants and loans to other students under G.S. 116-201 to 116-209.23, Article 23 of Chapter 116 of the General Statutes, policies of the Board of Governors of The University of North Carolina regarding need-based grants for students of The University of North Carolina, and policies of the State Board of Community Colleges regarding need-based grants for students of the community colleges."

SECTION 11.1.(g) The Joint Legislative Education Oversight Committee shall study the Scholarships for Children of War Veterans Program in the Department of Administration and no later than March 1, 2014, shall report its findings to the Chairs of the House of Representatives Appropriations Subcommittee on General Government, to the Chairs of the Senate Appropriations Committee on General Government and Information Technology, and to the General Assembly. The report shall include findings and recommendations regarding all of the following:

(1) Which State agency is the appropriate entity to administer the program.
(2) Ways in which the Program could be redesigned so as to increase cost predictability. This part of the report shall specifically include recommendations regarding the desirability of imposing time limits and scholarship award maximums on scholarships made available under the Program.
(3) Methods of coordinating with other scholarship programs so as to ensure that non-State resources are maximized before Program resources are used.
(4) Feasibility of setting a lower tuition rate for recipients of the scholarships who attend a constituent institution of The University of North Carolina or a community college in the North Carolina Community College System.

UNC NEED-BASED FINANCIAL AID FORWARD FUNDING RESERVE/PROVIDE FUNDS FOR UNC NEED-BASED GRANTS

SECTION 11.2.(a) It is the intent of the General Assembly to move the UNC Need-Based Financial Aid Program grant funding into a reserve in the North Carolina Student Loan Fund designated for that purpose so that funds appropriated for grants in a fiscal year are awarded to students for the following academic year. This change will provide additional program stability.

SECTION 11.2.(b) The UNC Need-Based Financial Aid Forward Funding Reserve (Reserve) is established as a reserve in the North Carolina Student Loan Fund. The funds in the UNC Need-Based Financial Aid Forward Funding Reserve shall be held in reserve for the 2013-2014 fiscal year and for the 2014-2015 fiscal year. Beginning with the 2015-2016 fiscal year, the funds in the Reserve shall be used to fund grants from the UNC Need-Based Financial Aid Program for the 2015-2016 program year and each subsequent program year.
SECTION 11.2.(c) Section 6.11(e) of this act appropriates funds from the Education Lottery Fund in the amount of thirty-two million five hundred thirty thousand three hundred fifty-nine dollars ($32,530,359) for the 2013-2014 fiscal year and in the amount of nineteen million one hundred thirty thousand seven hundred twenty-eight dollars ($19,130,728) for the 2014-2015 fiscal year to the Reserve. The following funds shall also be transferred to the Reserve:

1. The sum of fifty-nine million eight hundred fifty-nine thousand five hundred sixty-two dollars ($59,859,562) shall be transferred from the North Carolina Student Loan Fund to the Reserve.
2. Of the funds appropriated by this act to the Board of Governors of The University of North Carolina for the 2013-2015 fiscal biennium, the sum of three million four hundred seventy-five thousand five hundred thirty-eight dollars ($3,475,538) for the 2013-2014 fiscal year and the sum of three million four hundred fifty-four thousand six hundred fifty-six dollars ($3,454,656) for the 2014-2015 fiscal year shall be transferred to the Reserve.
3. Notwithstanding G.S. 115C-296.2, the sum of three million five hundred twenty-five thousand dollars ($3,525,000) shall be transferred from the fund balance of the National Board Certification Loan program to the Reserve.
4. The sum of five hundred thousand dollars ($500,000) shall be transferred from the John B. McLendon Scholarship Fund established in G.S. 116-209.40 to the Reserve.

SECTION 11.2.(d) G.S. 116-209.40 is repealed.

National Board Certification Loan Program
In accordance with the Joint Conference Committee Report, the recurring funding for this revolving loan program for teachers pursuing certification by the National Board for Professional Teaching Standards is reduced by $3,174,500 in 2013-14. Total remaining recurring funding will be $100,000. Additionally, a special provision (see Section 11.2 above) in the Appropriations Act reduces the available fund balance for the program, leaving $1,300,000 to support ongoing operations. The reduction will be allocated to UNC-GA, Related Educational Programs.

Tuition Increases for Nonresident Undergraduate Students (effective in 2014-15)
In accordance with the Joint Conference Committee Report, the tuition rates for nonresident undergraduate students will increase at fourteen institutions beginning in 2014-15. A 12.3% increase is mandated for NCA&T, UNC-CH, UNCW, and UNCSA and a 6% increase for ASU, ECU, ECSU, FSU, NCCU, UNCA, UNCG, UNCP, WCU, and WSSU. There were no tuition increases recommended for NCSU or UNCC. The revenue generated ($27,243,157) through these tuition increases will be offset by a corresponding reduction to each institution’s appropriation. The following table outlines the increase amount and the new tuition rate for undergraduate nonresident students for 2014-15.
In addition to the previously mentioned reductions, the General Assembly also made the following targeted reductions as outlined in the Joint Conference Committee Report.

**UNC-CH School of Medicine Subsidy**

The General Assembly eliminated the reserve for the UNC School of Medicine with a recurring reduction of $15,000,000 in 2013-14. This reduction was allocated directly to UNC-Chapel Hill, Health Affairs and therefore requires no Board of Governors action.

**NCA&T McNair Hall Building Reserve**

The General Assembly eliminated funding of $150,185 in recurring appropriations previously budgeted for an addition to McNair Hall at North Carolina A&T State University. The McNair Hall addition was to be part of the Graduate Engineering School Project but has been canceled. This reduction was allocated directly to NCA&T and therefore requires no Board of Governors action.
Allocations of Board of Governors’ Budget Priorities Funded by the 2013 General Assembly

The 2013-14 Budget Priorities of the Board of Governors and the associated expansion funding made available by the 2013 General Assembly are shown in the following table.

<table>
<thead>
<tr>
<th>2013-14</th>
<th>Budget Priorities</th>
<th>Recommended Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategic Plan Investments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Meeting State’s Education Attainment Goal</td>
<td>$73,500,000</td>
<td>$ –</td>
</tr>
<tr>
<td>b. Strengthening Academic Quality</td>
<td>27,500,000</td>
<td>–</td>
</tr>
<tr>
<td>c. Serve the People of North Carolina</td>
<td>12,700,000</td>
<td>–</td>
</tr>
<tr>
<td>d. Maximize Efficiencies at a Financially Stable and Accessible University</td>
<td>27,800,000</td>
<td>–</td>
</tr>
<tr>
<td></td>
<td>5,500,000</td>
<td>–</td>
</tr>
<tr>
<td><strong>Strategic Plan Savings</strong></td>
<td>(25,800,000)</td>
<td>(25,800,000)</td>
</tr>
<tr>
<td>a. Administrative and Operational Savings</td>
<td>(10,000,000)</td>
<td>(10,000,000)</td>
</tr>
<tr>
<td>b. Instructional Efficiencies</td>
<td>(15,800,000)</td>
<td>(15,800,000)</td>
</tr>
<tr>
<td>c. Program Reviews</td>
<td>–</td>
<td>–</td>
</tr>
<tr>
<td>d. Incentivize Savings Practices &quot;Carry Forward Reform&quot;</td>
<td>–</td>
<td>–</td>
</tr>
<tr>
<td><strong>Other Priorities</strong></td>
<td>7,000,000</td>
<td>–</td>
</tr>
<tr>
<td>a. Need-Based Financial Aid funding from Lottery receipts</td>
<td>–</td>
<td>$62.6M to forward funding reserve</td>
</tr>
<tr>
<td>(10.7 million in 2013-14 and $18.7 million in 2014-15)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Optional Retirement Program Rate Increase</td>
<td>5,000,000</td>
<td>–</td>
</tr>
<tr>
<td>c. Campus Security</td>
<td>500,000</td>
<td>–</td>
</tr>
<tr>
<td>d. Campuses Specializing in the Arts and Sciences</td>
<td>1,500,000</td>
<td>Exempted from management flex cut</td>
</tr>
</tbody>
</table>

**Total 2013-14 Budget Priorities Recommended**

$54,700,000 $(25,800,000)

All requests are for recurring funding.

In addition to the General Assembly’s recommended allocations for the Board’s expansion budget priorities as shown above, there were also allocations made for enrollment and building reserves as shown on pages 11 through 13.
Continuation Budget

2013-14 Allocations for Enrollment Changes

The General Assembly fully funded the Board’s request for enrollment for 2013-14 in the amount of $29,124,491. The enrollment change request and proposed allocations as listed below were based on the University’s semester-credit-hour (SCH) funding model. With the introduction of the performance-based funding model, two undergraduate cost factors related to academic performance (freshman to sophomore retention and degree efficiency) were removed from the enrollment growth model. Most significantly, the Board of Governor’s “hold harmless” policy no longer applies when a campus does not meet budgeted levels of enrollment.

In previous years, the enrollment appropriations were allocated directly to the campuses through the continuation budget. This year, the General Assembly made the 2013-14 appropriation for enrollment changes to UNC-GA, Institutional Programs (BOG Reserve); therefore, Board action is required for these allocations. It is recommended that the funds for enrollment changes be allocated as follows.

<table>
<thead>
<tr>
<th>Institution</th>
<th>Total Allocations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appalachian State University</td>
<td>$4,488,582</td>
</tr>
<tr>
<td>East Carolina University</td>
<td>2,433,870</td>
</tr>
<tr>
<td>Elizabeth City State University</td>
<td>(2,104,151)</td>
</tr>
<tr>
<td>Fayetteville State University</td>
<td>(117,069)</td>
</tr>
<tr>
<td>North Carolina A&amp;T State University</td>
<td>224,476</td>
</tr>
<tr>
<td>North Carolina Central University</td>
<td>(866,372)</td>
</tr>
<tr>
<td><strong>North Carolina State University</strong></td>
<td><strong>12,303,794</strong></td>
</tr>
<tr>
<td>University of North Carolina at Asheville</td>
<td>(130,606)</td>
</tr>
<tr>
<td>University of North Carolina at Chapel Hill</td>
<td>1,468,900</td>
</tr>
<tr>
<td>University of North Carolina at Charlotte</td>
<td>6,885,729</td>
</tr>
<tr>
<td>University of North Carolina at Greensboro</td>
<td>(96,112)</td>
</tr>
<tr>
<td>University of North Carolina at Pembroke</td>
<td>(1,092,276)</td>
</tr>
<tr>
<td>University of North Carolina at Wilmington</td>
<td>4,824,566</td>
</tr>
<tr>
<td>University of North Carolina School of the Arts</td>
<td>483,643</td>
</tr>
<tr>
<td>Western Carolina University</td>
<td>2,743,886</td>
</tr>
<tr>
<td>Winston-Salem State University</td>
<td>(2,435,251)</td>
</tr>
<tr>
<td>North Carolina School of Science &amp; Mathematics</td>
<td>108,882</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$29,124,491</strong></td>
</tr>
</tbody>
</table>
The state-funded budgeted enrollments for the constituent institutions of the University for 2013-14 are established as follows:

<table>
<thead>
<tr>
<th>Institution</th>
<th>Budgeted Student Credit Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appalachian State University</td>
<td>484,034</td>
</tr>
<tr>
<td>East Carolina University</td>
<td>685,875</td>
</tr>
<tr>
<td>Elizabeth City State University</td>
<td>76,684</td>
</tr>
<tr>
<td>Fayetteville State University</td>
<td>149,903</td>
</tr>
<tr>
<td>North Carolina A&amp;T State University</td>
<td>270,869</td>
</tr>
<tr>
<td>North Carolina Central University</td>
<td>198,353</td>
</tr>
<tr>
<td><strong>North Carolina State University</strong></td>
<td><strong>809,807</strong></td>
</tr>
<tr>
<td>University of North Carolina at Asheville</td>
<td>97,633</td>
</tr>
<tr>
<td>University of North Carolina at Chapel Hill</td>
<td>632,153</td>
</tr>
<tr>
<td>University of North Carolina at Charlotte</td>
<td>626,969</td>
</tr>
<tr>
<td>University of North Carolina at Greensboro</td>
<td>466,466</td>
</tr>
<tr>
<td>University of North Carolina at Pembroke</td>
<td>164,358</td>
</tr>
<tr>
<td>University of North Carolina School of the Arts</td>
<td>–</td>
</tr>
<tr>
<td>University of North Carolina at Wilmington</td>
<td>352,281</td>
</tr>
<tr>
<td>Western Carolina University</td>
<td>243,113</td>
</tr>
<tr>
<td>Winston-Salem State University</td>
<td>160,948</td>
</tr>
<tr>
<td>North Carolina School of Science &amp; Mathematics</td>
<td>–</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>5,419,446</strong></td>
</tr>
</tbody>
</table>

The enrollment change request and allocations were based on the University’s semester-credit-hour funding model except for the following components that remain on the FTE funding model. For these programs, the budgeted enrollments are as follows:

<table>
<thead>
<tr>
<th>FTE Funding Model</th>
<th>Budgeted Full-Time Equivalent Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>East Carolina University Medical School ¹</td>
<td>318</td>
</tr>
<tr>
<td>North Carolina Central University Law School</td>
<td>601</td>
</tr>
<tr>
<td>North Carolina School of Science &amp; Mathematics</td>
<td>700</td>
</tr>
<tr>
<td><strong>North Carolina State University Veterinary Medicine</strong></td>
<td><strong>397</strong></td>
</tr>
<tr>
<td>UNC-Chapel Hill Law, Medicine, Dentistry &amp; Pharmacy</td>
<td>4,272</td>
</tr>
<tr>
<td>University of North Carolina School of the Arts</td>
<td>1,175</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>7,463</strong></td>
</tr>
</tbody>
</table>

¹ This amount reflects enrollment in the ECU Medical School only. In addition, the General Assembly has fully funded the Board’s request for the ECU School of Dentistry. The program will include 50 students per cohort, which began in 2011-12 and is expected to be fully operational by 2014-15 with a total of 200 students.
Funds to Operate New or Renovated University Buildings

The continuation budget includes $10,732,926 in recurring funds and $4,821,468 in nonrecurring funds for the operation of new or renovated buildings to be completed in 2013-14. The operating costs include housekeeping, maintenance, and security requirements for the added building square footage. The operating funds for these facilities were allocated to the continuation budgets of each institution and therefore require no Board action. The table below outlines the specific buildings for each campus that will receive funding in the 2013-15 biennium:

<table>
<thead>
<tr>
<th>Institution/Building</th>
<th>2013-14</th>
<th></th>
<th>2014-15</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Recurring</td>
<td>Nonrecurring</td>
<td>Recurring</td>
<td>Nonrecurring</td>
</tr>
<tr>
<td><strong>East Carolina University</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-Ahoskie</td>
<td>$201,842</td>
<td>$67,710</td>
<td>$201,842</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-Elizabeth City</td>
<td>201,332</td>
<td>39,430</td>
<td>201,332</td>
<td>$</td>
</tr>
<tr>
<td>School of Dentistry CSLC-Lillington</td>
<td>203,065</td>
<td>39,569</td>
<td>203,065</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-Sylva</td>
<td>203,575</td>
<td>67,849</td>
<td>203,575</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-Spruce Pine</td>
<td>118,455</td>
<td>39,569</td>
<td>203,065</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-Lumberton</td>
<td>50,767</td>
<td>39,569</td>
<td>203,065</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-Davidson County</td>
<td>50,767</td>
<td>39,569</td>
<td>203,065</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-Brunswick County</td>
<td>33,843</td>
<td>39,569</td>
<td>203,065</td>
<td></td>
</tr>
<tr>
<td>School of Dentistry CSLC-#9 location</td>
<td></td>
<td></td>
<td>169,222</td>
<td>39,569</td>
</tr>
<tr>
<td>School of Dentistry CSLC-#10 location</td>
<td></td>
<td></td>
<td>169,222</td>
<td>39,569</td>
</tr>
<tr>
<td><strong>Total - East Carolina University</strong></td>
<td>1,063,646</td>
<td>372,834</td>
<td>1,960,518</td>
<td>79,138</td>
</tr>
<tr>
<td><strong>Elizabeth City State University</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Griffin Hall Renovation</td>
<td>38,144</td>
<td>5,400</td>
<td>65,389</td>
<td></td>
</tr>
<tr>
<td><strong>North Carolina State University</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Infrastructure Expansion</td>
<td>1,101,214</td>
<td></td>
<td>1,169,300</td>
<td></td>
</tr>
<tr>
<td>Corporate Research I</td>
<td>294,286</td>
<td></td>
<td>294,286</td>
<td></td>
</tr>
<tr>
<td>Centennial Research Greenhouses</td>
<td>38,577</td>
<td></td>
<td>38,577</td>
<td></td>
</tr>
<tr>
<td><strong>Total - NC State University</strong></td>
<td>1,434,077</td>
<td></td>
<td>1,502,163</td>
<td></td>
</tr>
<tr>
<td><strong>UNC-Chapel Hill</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities Services Shops/Warehouse Bldg.</td>
<td>725,031</td>
<td></td>
<td>725,031</td>
<td></td>
</tr>
<tr>
<td>Carolina North Donated Properties</td>
<td>671,859</td>
<td>117,534</td>
<td>671,859</td>
<td></td>
</tr>
<tr>
<td>Biomedical Research Imaging Building</td>
<td>4,225,892</td>
<td>744,850</td>
<td>8,451,783</td>
<td></td>
</tr>
<tr>
<td><strong>Total - UNC-Chapel Hill</strong></td>
<td>5,622,782</td>
<td>862,384</td>
<td>9,848,673</td>
<td></td>
</tr>
<tr>
<td><strong>UNC Charlotte</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Motorsports II</td>
<td>234,665</td>
<td>14,514</td>
<td>234,665</td>
<td></td>
</tr>
<tr>
<td><strong>UNC Greensboro</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Campus Police Building</td>
<td>261,013</td>
<td>77,962</td>
<td>284,743</td>
<td></td>
</tr>
<tr>
<td><strong>UNC School of the Arts</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New Library</td>
<td>557,246</td>
<td>720,228</td>
<td>955,274</td>
<td></td>
</tr>
<tr>
<td>Campus Police Operations Center</td>
<td>104,075</td>
<td>296,867</td>
<td>156,114</td>
<td></td>
</tr>
<tr>
<td>Central Storage Building</td>
<td>341,186</td>
<td>370,803</td>
<td>511,785</td>
<td></td>
</tr>
<tr>
<td>Film Production Design Facility</td>
<td>257,774</td>
<td>1,818,151</td>
<td>441,900</td>
<td></td>
</tr>
<tr>
<td><strong>Total - UNC School of the Arts</strong></td>
<td>1,260,281</td>
<td>3,206,049</td>
<td>2,065,073</td>
<td></td>
</tr>
<tr>
<td><strong>Winston-Salem State University</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reaves Student Activities Center</td>
<td>549,822</td>
<td>107,421</td>
<td>549,822</td>
<td></td>
</tr>
<tr>
<td>Center Design Innovation</td>
<td>146,852</td>
<td>151,608</td>
<td>440,545</td>
<td></td>
</tr>
<tr>
<td>Hill Hall Student Renovation</td>
<td>121,644</td>
<td>23,296</td>
<td>132,704</td>
<td></td>
</tr>
<tr>
<td><strong>Total - Winston-Salem State University</strong></td>
<td>818,318</td>
<td>282,325</td>
<td>1,123,071</td>
<td></td>
</tr>
<tr>
<td><strong>Total Changes</strong></td>
<td>10,732,926</td>
<td>4,821,468</td>
<td>17,084,295</td>
<td>79,138</td>
</tr>
</tbody>
</table>
Campuses Specializing in the Arts and Sciences
The Board requested $1,500,000 for UNC Asheville and UNC School of the Arts for each year of the biennium to provide sufficient resources for the academic programs and support services for students. The General Assembly did not appropriate funds for this priority but did exempt both campuses from a management flexibility reduction as shown on page 2.

Campus Security
The General Assembly did not appropriate funds in response to the Board’s request of $500,000 in 2013-14 and an additional $300,000 in 2014-15.

Special Appropriations
Several special appropriations for 2013-14 and 2014-15 were directed to program areas not included in the Board’s Budget Priorities. These appropriations are shown below. No action is required by the Board of Governors.

Western Carolina University Engineering Degree Program at Biltmore Park
The General Assembly provided nonrecurring funds of $698,962 in 2013-14 and recurring funds of $719,844 in 2014-15 for a general engineering degree program at WCU’s Biltmore Park Town Square location in Buncombe County. Funds will help support start-up costs, four full-time equivalent positions, and ongoing program operations. These funds were appropriated directly to Western Carolina University.

Aid to Private Institutions
The funds for the programs described below were appropriated directly to Aid to Private Institutions.

NC Need-Based Scholarship
The General Assembly appropriated $4,500,000 in nonrecurring funds to provide additional dollars for the NC Need-Based Scholarship for private college students. Total program funding for 2013-14 and 2014-15 will be $86,351,588.

Opportunity Scholarships
Recurring funds of $10,000,000 are provided for Opportunity Scholarship Grants, as authorized by Section 8.29 of Senate Bill 402. The program will create scholarship grants of up to $4,200 per year for eligible K-12 students to attend nonpublic schools. Also, the NC State Education Assistance Authority is authorized to create two positions to support the requirements of the program.

Institute for Regenerative Medicine
The General Assembly transferred $7,000,000 in recurring funds from the Commerce-State Aid budget to Aid to Private Institutions for the Institute for Regenerative Medicine at Wake Forest University. The special provision (Section 11.12) requires Wake Forest to report to the Board of Governors, Fiscal Research Division, and Joint Legislative Commission on Governmental Operations by September 1 of each year before receiving additional funds.
Additional UNC Budget-Related Special Provisions

COORDINATED RESIDENCY DETERMINATION PROCESS

SECTION 11.3.(a) The General Assembly finds that it is in the best interest of the State for the University System, the Community College System, and the State Education Assistance Authority to apply the criteria in G.S. 116-143.1 to determine residency for tuition purposes in a coordinated and similar manner. Therefore, The University of North Carolina, the North Carolina Community College System, and the State Education Assistance Authority shall jointly develop and implement a coordinated and centralized process to be used by those three entities when determining the residency for tuition purposes of students who apply for admission and are admitted to a constituent institution of The University of North Carolina or a community college under the jurisdiction of the State Board of Community Colleges and for private college students receiving State-funded financial aid. In developing a centralized residency determination process, The University of North Carolina General Administration, the North Carolina Community College System, and the State Education Assistance Authority shall consult with the North Carolina Independent Colleges and Universities.

SECTION 11.3.(b) No later than January 1, 2014, The University of North Carolina, the North Carolina Community College System, and the State Education Assistance Authority shall report to the Joint Legislative Education Oversight Committee regarding the progress in developing and implementing a coordinated and centralized process and any necessary statutory changes.

UNC BOARD OF GOVERNORS REPORT ON OVERHEAD RECEIPTS

SECTION 11.6.(a) G.S. 116-11 is amended by adding a new subdivision to read:

"(9a) The Board of Governors shall report to the Joint Legislative Education Oversight Committee and the Office of State Budget and Management by March 1 of each year regarding the sum of facilities and administrative fees and overhead receipts for The University of North Carolina that are collected and expended by each constituent institution. The report shall include all of the following information:

a. The collection of facilities and administrative fees and overhead receipts by grant or program.

b. The use of facilities and administrative fees and overhead receipts showing expenditures by grant or program.

c. The sum of facilities and administrative fees and overhead receipts collected or expended by each constituent institution for maintenance and operation of facilities that were constructed with or at any time operated by funds from the General Fund."

SECTION 11.6.(b) Section 31.14 of S.L. 2001-424 is repealed.

STUDENT CHARGES AT THE NORTH CAROLINA SCHOOL OF SCIENCE AND MATH

SECTION 11.7.(a) G.S. 116-40.22 reads as rewritten:


…

(c) Tuition and Fees. – Notwithstanding any provision in Chapter 116 of the General Statutes to the contrary, in addition to any tuition and fees set by the Board of Governors pursuant to G.S. 116-11(7), the Board of Trustees of the institution may recommend to the Board of Governors tuition and fees for program-specific and institution-specific needs at that institution without regard to whether an emergency situation exists and not inconsistent with the actions of the General Assembly. Any tuition and fees set pursuant to this subsection are appropriated for use by the institution. Notwithstanding this subsection, neither the Board of Governors of The University of North Carolina nor its Board of Trustees shall impose any tuition or mandatory fee at the North Carolina School of Science and Mathematics without the approval of the General Assembly, except as provided in subsection (f) of this section.

…"
(f) The Board of Governors of The University of North Carolina may approve, upon the recommendation of the Board of Trustees of the North Carolina School of Science and Mathematics, the imposition of fees not inconsistent with actions of the General Assembly for distance education services provided by the North Carolina School of Science and Mathematics to nonresidents and for students participating in extracurricular enrichment programs sponsored by the School.

SECTION 11.7.(b) G.S. 116-143 reads as rewritten:

"§ 116-143. State-supported institutions of higher education required to charge tuition and fees.

(b) In the event that said students are unable to pay the cost of tuition and required academic fees as the same may become due, in cash, the said several boards of trustees are hereby authorized and empowered, in their discretion, to accept the obligation of the student or students together with such collateral or security as they may deem necessary and proper, it being the purpose of this Article that all students in State institutions of higher learning shall be required to pay tuition, and that free tuition is hereby abolished. Notwithstanding this section, neither the Board of Governors of The University of North Carolina nor its Board of Trustees shall impose any tuition or mandatory fee at the North Carolina School of Science and Mathematics without the approval of the General Assembly, except as provided in subsection (e) of this section.

(e) The Board of Governors of The University of North Carolina may approve, upon the recommendation of the Board of Trustees of the North Carolina School of Science and Mathematics, the imposition of fees not inconsistent with actions of the General Assembly for distance education services provided by the North Carolina School of Science and Mathematics to nonresidents and for students participating in extracurricular enrichment programs sponsored by the School."

SECTION 11.7.(c) This section applies to the 2013-2014 spring academic semester and each subsequent academic semester.

STUDENT CHARGES AT THE UNC SCHOOL OF THE ARTS

SECTION 11.8.(a) Article 4 of Chapter 116 of the General Statutes is amended by adding a new section to read:

"§ 116-68.1. Fees.

The Board of Governors of The University of North Carolina may set fees, not inconsistent with the actions of the General Assembly, to be paid by in-State high school students enrolled at the University of North Carolina School of the Arts to assist with expenses of the institution. The Board of Trustees may recommend to the Board of Governors of The University of North Carolina that fees be set, not inconsistent with actions of the General Assembly, to be paid by in-State high school students enrolled at the University of North Carolina School of the Arts to assist with expenses of the institution. The University of North Carolina School of the Arts may charge and collect fees established as provided by this section from in-State high school students enrolled at the University of North Carolina School of the Arts."

SECTION 11.8.(b) This section applies to the 2014-2015 academic year and each subsequent academic year.
Other Budget-Related Special Provisions

In addition to the previously cited special provisions in the 2013 Appropriations Act (S.L. 2013-360) and the Technical Corrections bill (S.L. 2013-363), the following are noted for information.

<table>
<thead>
<tr>
<th>Section</th>
<th>Special Provisions in Senate Bill 402 (Appropriations Act)</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.4</td>
<td>Master Settlement Agreement (MSA) Payments</td>
</tr>
<tr>
<td>6.5</td>
<td>Government Efficiency and Reform</td>
</tr>
<tr>
<td>6.11</td>
<td>Revise Public School Building Capital Fund/Appropriate Education Lottery Funds</td>
</tr>
<tr>
<td>6.12</td>
<td>State Budget Act Amendments</td>
</tr>
<tr>
<td>8.29</td>
<td>Opportunity Scholarships</td>
</tr>
<tr>
<td>11.9</td>
<td>Authorize State Education Assistance Authority to Continue to Collect NC Teaching Fellows Repayments</td>
</tr>
<tr>
<td>11.10</td>
<td>UNC Disposition and Acquisition of Real Property</td>
</tr>
<tr>
<td>11.12</td>
<td>UNC/Wake Forest Institute for Regenerative Medicine/Profit Sharing with State</td>
</tr>
<tr>
<td>11.15</td>
<td>Student Financial Aid/Semester Limit</td>
</tr>
<tr>
<td>11.16</td>
<td>Study School of Science and Mathematics/Morganton Campus</td>
</tr>
<tr>
<td>11.17</td>
<td>Study NC Guaranteed Admission Program</td>
</tr>
<tr>
<td>11.18</td>
<td>UNC iSchool/Career and College Promise Program (UNC Greensboro)</td>
</tr>
<tr>
<td>35.6</td>
<td>University of North Carolina System Annual Compensation</td>
</tr>
<tr>
<td>35.8</td>
<td>Salary Adjustments for Special Circumstances/No Automatic Increases/Authorized Salary Adjustment Fund Actions Not Prohibited</td>
</tr>
<tr>
<td>35.10C</td>
<td>Special Annual Leave Bonus</td>
</tr>
<tr>
<td>35.15</td>
<td>Salary-Related Contributions</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section</th>
<th>Special Provisions in House Bill 112 (Technical Corrections)</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2</td>
<td>Directs Funds to SEAA if the Children with Disabilities Scholarships Bill Becomes Law (H269)</td>
</tr>
<tr>
<td>3.4</td>
<td>Corrects Bill Figure Errors</td>
</tr>
<tr>
<td>3.12</td>
<td>S.L 2013-360 repealed the sunset on the additional acquisition and disposition authority for the Millennial Campuses and this section reverses this legislation</td>
</tr>
<tr>
<td>3.16</td>
<td>Amends Section 11.17 in the Appropriations Act (S402) to have JLEOC conduct NC GAP study</td>
</tr>
<tr>
<td>-------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>UNC Chapel Hill (Total)</td>
<td>322,826,729</td>
</tr>
<tr>
<td>UNC-Chapel Hill</td>
<td>204,619,330</td>
</tr>
<tr>
<td>UNC-CH School of Medicine</td>
<td>197,345,981</td>
</tr>
<tr>
<td>UNC System</td>
<td>62,511,459</td>
</tr>
<tr>
<td>East Carolina Univ. (Total)</td>
<td>56,953,353</td>
</tr>
<tr>
<td>WCU</td>
<td>54,942,277</td>
</tr>
<tr>
<td>NC Central Univ.</td>
<td>49,336,186</td>
</tr>
<tr>
<td>Fayetteville St. Univ.</td>
<td>153,499,217</td>
</tr>
<tr>
<td>Appalachian St. Univ.</td>
<td>97,032,613</td>
</tr>
<tr>
<td>UNC Greensboro</td>
<td>20,509,936</td>
</tr>
<tr>
<td>Western Carolina Univ. (Total)</td>
<td>82,441,237</td>
</tr>
<tr>
<td>East Carolina Univ. (Total)</td>
<td>283,417,217</td>
</tr>
<tr>
<td>UNC Chapel Hill (Total)</td>
<td>512,826,129</td>
</tr>
<tr>
<td>NC Arboretum</td>
<td>2,240,649</td>
</tr>
<tr>
<td>UNC-TV</td>
<td>9,542,539</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$2,435,670,437</td>
</tr>
</tbody>
</table>

**FY 2013-14 Recurring Reduction Allocations**

- **Weighted ED & Bldg. spending per Degree**
- **UNC FIT Degree Factors**
- **Weighted Base 2013-14**
- **Total**
- **$585,005,042**
- **4.3B1**

**Strategic Directions**

- Exempt from Management Flex & Recurring Per Budget Bill
- 10% Reduction
- 10% Degree Efficiency
- 10% Weighted ED & Bldg. spending per Degree
- No Tuition
- Discowrass of Scale (25%)
- Full Grant Recipients
- Weighting

**Management Flexibility**

- UNC-FIT Degree Factors
- Weighted Base 2013-14
- Total
- ($585,005,042) -3.89%
- Directions and Mgmt. Flex)
- Reductions
- (17,449,767)          -4.49%
- (11,153,286)          -4.08%
- (21,002,836)         -4.10%
- (8,035,492)            -3.68%
- (1,226,510)            -3.47%
- (3,275,141)            -4.08%
- (1,713,246)            -3.47%
- (4,702,305)            -3.88%
### FY 2013-14 Summary of Recurring Budget Changes

<table>
<thead>
<tr>
<th>Institution</th>
<th>2013-14 Continuation less Enroll. &amp; Bldg. Res.</th>
<th>Appropriation Reductions</th>
<th>Appropriation Increases</th>
<th>Net Change in Appropriations</th>
<th>Tuition Increase</th>
<th>Net Total Change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total</td>
<td>% Reduction from 2013-14 Base</td>
<td>Enrollment</td>
<td>Building Reserves (Recurring)</td>
<td>Total</td>
<td>% Increase from 2013-14 Base</td>
</tr>
<tr>
<td>UNC Chapel Hill</td>
<td>$512,826,129</td>
<td>(21,066,544) -4.36%</td>
<td>$1,468,900</td>
<td>$1,434,077</td>
<td>$13,737,871</td>
<td>2.84%</td>
</tr>
<tr>
<td>NC State Univ.</td>
<td>$483,313,614</td>
<td>(10,419,245) -3.68%</td>
<td>$2,433,870</td>
<td>$2,457,013</td>
<td>$3,497,516</td>
<td>1.23%</td>
</tr>
<tr>
<td>East Carolina Univ.</td>
<td>$192,448,794</td>
<td>(4,702,305) -3.68%</td>
<td>$4,488,582</td>
<td>$4,488,582</td>
<td>$4,824,566</td>
<td>5.00%</td>
</tr>
<tr>
<td>NC A&amp;T St. Univ.</td>
<td>$47,038,186</td>
<td>(1,226,510) -3.47%</td>
<td>$1,137,240</td>
<td>$1,137,240</td>
<td>$1,743,924</td>
<td>2.38%</td>
</tr>
<tr>
<td>NC Central Univ.</td>
<td>$96,484,092</td>
<td>(3,776,300) -4.49%</td>
<td>$1,468,900</td>
<td>$1,468,900</td>
<td>$1,843,944</td>
<td>2.84%</td>
</tr>
<tr>
<td>UNC Pembroke</td>
<td>$192,448,794</td>
<td>(4,702,305) -3.68%</td>
<td>$4,488,582</td>
<td>$4,488,582</td>
<td>$4,824,566</td>
<td>5.00%</td>
</tr>
<tr>
<td>UNC Wilmington</td>
<td>$82,441,237</td>
<td>(3,369,845) -4.09%</td>
<td>$2,743,886</td>
<td>$2,743,886</td>
<td>$3,161,933</td>
<td>3.33%</td>
</tr>
<tr>
<td>Winston-Salem St. Univ.</td>
<td>$67,857,013</td>
<td>(1,803,510) -2.66%</td>
<td>$2,435,231</td>
<td>$2,435,231</td>
<td>$2,823,530</td>
<td>3.63%</td>
</tr>
<tr>
<td>Elizabeth City St. Univ.</td>
<td>$35,319,668</td>
<td>(1,326,510) -3.74%</td>
<td>(2,104,151)</td>
<td>(2,104,151)</td>
<td>(3,292,517)</td>
<td>9.32%</td>
</tr>
<tr>
<td>UNC Asheville</td>
<td>$37,465,299</td>
<td>(484,514) -1.23%</td>
<td>(130,606)</td>
<td>(130,606)</td>
<td>(192,154)</td>
<td>-1.35%</td>
</tr>
<tr>
<td>UNC School of the Arts</td>
<td>$27,064,130</td>
<td>(313,621) -1.23%</td>
<td>$483,643</td>
<td>$483,643</td>
<td>$1,416,303</td>
<td>6.44%</td>
</tr>
<tr>
<td>NC School of Science &amp; Math</td>
<td>$19,126,186</td>
<td>(235,621) -1.23%</td>
<td>(130,606)</td>
<td>(130,606)</td>
<td>(192,154)</td>
<td>-1.35%</td>
</tr>
<tr>
<td>UNC-General Admin.</td>
<td>$29,852,475</td>
<td>(1,139,273) -3.62%</td>
<td>-</td>
<td>-</td>
<td>- (1,139,273)</td>
<td>-3.62%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$2,433,670,437</strong></td>
<td><strong>($94,605,042) -3.89%</strong></td>
<td><strong>$29,124,491</strong></td>
<td><strong>$29,124,491</strong></td>
<td><strong>$39,707,232</strong></td>
<td><strong>1.63%</strong></td>
</tr>
</tbody>
</table>

Note: S.L. 2013-360, Appropriations Act of 2013, made additional reductions to UNC Chapel Hill of $15 million to Health Affairs and $8 million in funds from the Master Settlement Agreement for the University Cancer Research Fund.
2013-14 Allocations – Capital Improvements

While the Board approves and then requests funding or authorization from the General Assembly for major capital improvement projects, funds for Repairs and Renovations projects are appropriated to the Board of Governors for allocation to the institutions. This appropriation is included in Senate Bill 402 (S.L. 2013-360), the “2013 Appropriations Act.” By statute, the Board is directed to allocate such funds in accordance with guidelines developed in The University of North Carolina Funding Allocation Model for Repairs and Renovations and in accordance with any specifications in the Appropriations Act. These recommended allocations, as applicable, meet all the directives cited in the 2013 Appropriations Act.

It is recommended that the proposed Allocations for Capital Improvements for 2013-14 be approved. It is also recommended that the President be authorized to make refinements in the interest of accuracy and completeness. It is further recommended that the President be authorized to seek such concurrence as may be required of the Director of the Budget in the foregoing allocations.

Capital Improvements Appropriations and Authorizations

The General Assembly appropriated $4,000,000 from the General Fund for the following projects:

<table>
<thead>
<tr>
<th>Institution</th>
<th>Project Description</th>
<th>Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASU</td>
<td>Health Sciences Building - Advance Planning</td>
<td>$ 2,000,000</td>
</tr>
<tr>
<td>UNCA</td>
<td>Land Purchases</td>
<td>$ 2,000,000</td>
</tr>
</tbody>
</table>

Allocations from the Reserve for Repairs and Renovations

For fiscal year 2013-14, the 2013 General Assembly appropriated $150,000,000 to the Statewide Reserve for Repairs and Renovations, of which $60,000,000 (40%) was allocated to the Board of Governors, as shown below.

REPAIRS AND RENOVATIONS RESERVE ALLOCATION

SECTION 36.5.(a) Of the funds in the Reserve for Repairs and Renovations for the 2013-2014 and the 2014-2015 fiscal years, the following allocations shall be made to the following agencies for repairs and renovations pursuant to G.S. 143C-4-3:

1. Forty percent (40%) shall be allocated to the Board of Governors of The University of North Carolina
2. Sixty percent (60%) shall be allocated to the Office of State Budget and Management.
The Office of State Budget and Management and the Board of Governors shall consult with or report to the Joint Legislative Commission on Governmental Operations, as appropriate, in accordance with G.S. 143C-4-3(d).

SECTION 36.5.(b) Notwithstanding G.S. 143C-4-3(d), of the funds allocated to the Board of Governors of The University of North Carolina in subsection (a) of this section, a portion shall be used each fiscal year by the Board of Governors for the installation of fire sprinklers in university residence halls. This portion shall be in addition to funds otherwise appropriated in this act for the same purpose. Such funds shall be allocated among the university's constituent institutions by the President of The University of North Carolina, who shall consider the following factors when allocating those funds:

1. The safety and well-being of the residents of campus housing programs.
2. The current level of housing rents charged to students and how that compares to an institution's public peers and other UNC institutions.
3. The level of previous authorizations to constituent institutions for the construction or renovation of residence halls funded from the General Fund or from bonds or certificates of participation supported by the General Fund since 1996.
4. The financial status of each constituent institution's housing system, including debt capacity, debt coverage ratios, credit rankings, required reserves, the planned use of cash balances for other housing system improvements, and the constituent institution's ability to pay for the installation of fire sprinklers in all residence halls.
5. The total cost of each proposed project, including the cost of installing fire sprinklers and the cost of other construction, such as asbestos removal and additional water supply needs.

The Board of Governors shall submit progress reports to the Joint Legislative Commission on Governmental Operations. Reports shall include the status of completed, current, and planned projects. Reports also shall include information on the financial status of each constituent institution's housing system, the constituent institution's ability to pay for fire protection in residence halls, and the timing of installation of fire sprinklers. Reports shall be submitted on January 1 and July 1 until all residence halls have fire sprinklers.

SECTION 36.5.(c) Notwithstanding G.S. 143C-4-3(d), of the funds allocated to the Board of Governors of The University of North Carolina in subsection (a) of this section, a portion shall be used each fiscal year by the Board of Governors for campus public safety improvements allowable under G.S. 143C-4-3(b).

SECTION 36.5.(d) G.S. 143C-4-3(b), as rewritten by Section 6.12(l) of this act, reads as rewritten:

"(b) Use of Funds. – The funds in the Repairs and Renovations Reserve shall be used only for the repair and renovation of (i) State facilities and related infrastructure that are supported from the General Fund or (ii) State Information Technology Services facilities and related infrastructure. Funds from the Repairs and Renovations Reserve shall be used only for the following types of projects:

1. Roof repairs and replacements;
2. Structural repairs;
3. Repairs and renovations to meet federal and State standards;
4. Repairs to electrical, plumbing, and heating, ventilating, and air-conditioning systems;
5. Improvements to meet the requirements of the Americans with Disabilities Act, 42 U.S.C. § 12101, et seq., as amended;
6. Improvements to meet fire safety needs;
7. Improvements to existing facilities for energy efficiency;
8. Improvements to remove asbestos, lead paint, and other contaminants, including the removal and replacement of underground storage tanks;
9. Improvements and renovations to improve use of existing space;
10. Historical restoration;
11. Improvements to roads, walks, drives, utilities infrastructure; and
12. Drainage and landscape improvements.

Funds from the Repairs and Renovations Reserve shall not be used for new construction or the expansion of the building area (sq. ft.) of an existing facility unless required in order to comply with federal or State codes or standards."
In 1994, the Board of Governors adopted a formula for the allocation of repair and renovation appropriations to the campuses. The formula takes into account the institutional mission (number of degree programs and net assignable square footage of lab space), size (gross square footage, net assignable square footage, and campus population), and the condition of campus facilities (current replacement value and facilities deficiencies) in determining institutional allocations, with the principal responsibility for the selection of specific projects resting with the Chancellors. High priority projects that would not otherwise be funded through institutional allocations are deducted from the available funds prior to applying the formula to determine campus allocations. The Board’s formula has been updated and uses the most recent data available.

It is recommended that the following allocations be made from the Reserve for Repairs and Renovations. It is also recommended that Chancellors identify specific projects, consistent with any applicable rules and regulations, to be financed from the institutional allocations and present those projects to the President who shall report to the Joint Legislative Commission on Governmental Operations, as required by legislation.

It is recommended that Chancellors at institutions that do not have all residence halls protected by fire sprinkler systems consider using a portion of their allocation to fund remaining projects if other funds are not available. It is also recommended that Chancellors consider projects to make campus public safety improvements consistent with the requirements of the 2013 Appropriations Act.

It is recommended that allocations to an institution may be transferred as needed among projects within that institution upon the request of the Chancellor with the approval of the President. It is also recommended that the President be authorized to make further allocations from the reserve.

### Allocations:

<table>
<thead>
<tr>
<th>Institution</th>
<th>Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appalachian State University</td>
<td>$2,982,626</td>
</tr>
<tr>
<td>East Carolina University</td>
<td>6,223,834</td>
</tr>
<tr>
<td>Elizabeth City State University</td>
<td>1,788,627</td>
</tr>
<tr>
<td>Fayetteville State University</td>
<td>1,788,627</td>
</tr>
<tr>
<td>North Carolina A&amp;T State University</td>
<td>2,661,937</td>
</tr>
<tr>
<td>North Carolina Central University</td>
<td>1,807,823</td>
</tr>
<tr>
<td><strong>North Carolina State University</strong></td>
<td><strong>12,206,701</strong></td>
</tr>
<tr>
<td>The University of North Carolina at Asheville</td>
<td>1,788,627</td>
</tr>
<tr>
<td>The University of North Carolina at Chapel Hill</td>
<td>5,913,326*</td>
</tr>
<tr>
<td>The University of North Carolina at Charlotte</td>
<td>4,132,925</td>
</tr>
<tr>
<td>The University of North Carolina at Greensboro</td>
<td>4,254,199</td>
</tr>
<tr>
<td>The University of North Carolina at Pembroke</td>
<td>1,788,627</td>
</tr>
<tr>
<td>The University of North Carolina at Wilmington</td>
<td>2,664,083</td>
</tr>
<tr>
<td>The University of North Carolina School of the Arts</td>
<td>1,788,627</td>
</tr>
<tr>
<td>Western Carolina University</td>
<td>2,232,057</td>
</tr>
<tr>
<td>Winston-Salem State University</td>
<td>1,788,627</td>
</tr>
<tr>
<td>North Carolina School of Science and Mathematics</td>
<td>1,788,627</td>
</tr>
<tr>
<td>Reserve for UNC Affiliates and Contingencies</td>
<td>2,400,100</td>
</tr>
</tbody>
</table>

**TOTAL ALLOCATIONS** $60,000,000

*Due to other available funds, UNC-Chapel Hill has been reduced by 50%.*
Authorizations, Reductions, or Other Actions by the 2013 General Assembly for which No Board Action is required

**Non-General Fund Capital Improvements Project Authorizations**

In response to the Board’s request, the 2013 General Assembly authorized capital projects funded from non-general fund sources totaling $458,655,960 in Senate Bill 480.

<table>
<thead>
<tr>
<th>Project Authorization</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Appalachian State University</strong></td>
<td></td>
</tr>
<tr>
<td>Anne Belk Hall Renovations</td>
<td>$ 4,000,000</td>
</tr>
<tr>
<td>Soccer Field to Field Hockey Renovation</td>
<td>1,500,000</td>
</tr>
<tr>
<td><strong>East Carolina University</strong></td>
<td></td>
</tr>
<tr>
<td>Belk Residence Hall Demolition and Reconstruction - Supplement</td>
<td>16,000,000</td>
</tr>
<tr>
<td>Women and Children's Clinic Facility</td>
<td>71,605,960</td>
</tr>
<tr>
<td><strong>North Carolina A&amp;T State University</strong></td>
<td></td>
</tr>
<tr>
<td>New Student Center</td>
<td>90,000,000</td>
</tr>
<tr>
<td><strong>North Carolina State University</strong></td>
<td></td>
</tr>
<tr>
<td>Carmichael Locker Room Renovation</td>
<td>7,600,000</td>
</tr>
<tr>
<td><strong>The University of North Carolina at Chapel Hill</strong></td>
<td></td>
</tr>
<tr>
<td>Rizzo Center Phase III Acquisition</td>
<td>36,000,000</td>
</tr>
<tr>
<td>Odum Village Replacement</td>
<td>25,000,000</td>
</tr>
<tr>
<td>Craigie Parking Deck - Supplement</td>
<td>4,000,000</td>
</tr>
<tr>
<td><strong>The University of North Carolina at Charlotte</strong></td>
<td></td>
</tr>
<tr>
<td>Holshouser Hall Renovation</td>
<td>16,000,000</td>
</tr>
<tr>
<td>Oak Hall Renovation, Phase V</td>
<td>8,900,000</td>
</tr>
<tr>
<td>Residence Hall, Phase XIII</td>
<td>34,750,000</td>
</tr>
<tr>
<td><strong>The University of North Carolina at Greensboro</strong></td>
<td></td>
</tr>
<tr>
<td>Spartan Village Phase I Acquisition</td>
<td>67,000,000</td>
</tr>
<tr>
<td><strong>Western Carolina University</strong></td>
<td></td>
</tr>
<tr>
<td>Upper Campus New Residence Hall</td>
<td>48,000,000</td>
</tr>
<tr>
<td><strong>Winston-Salem State University</strong></td>
<td></td>
</tr>
<tr>
<td>Bowman Gray Stadium &amp; Civitan Park Acquisition</td>
<td>7,500,000</td>
</tr>
<tr>
<td>New Residence Hall - Freshmen Living/Learning</td>
<td>20,800,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$458,655,960</strong></td>
</tr>
</tbody>
</table>
**Other Actions by the 2013 General Assembly**

In addition, the following capital improvements-related special provisions from the 2013 Appropriations Act (S.L. 2013-360) are noted for information.

<table>
<thead>
<tr>
<th>Section</th>
<th>Special Provisions</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.12.(I)</td>
<td>Allocation and Reallocation of [R&amp;R] Funds</td>
</tr>
<tr>
<td>30.3</td>
<td>Repeal State-wide Capital Reserve</td>
</tr>
<tr>
<td>36.7</td>
<td>Reporting on Capital Projects</td>
</tr>
<tr>
<td>36.9</td>
<td>Authorize UNC Carryforward Funds to be used for Repairs and Renovations</td>
</tr>
<tr>
<td>36.10</td>
<td>Limit UNC Repairs and Maintenance Exemption</td>
</tr>
</tbody>
</table>

**Additional Information**

The table on the following page, *General Assembly Funding – Ten Year History*, a summary by institution of capital improvements appropriations from 2004 through 2013, is provided as supplementary information.
4. The 2009 General Assembly funded repairs and renovations with a combination of federal stimulus funds ($12 million) and bonds to be repaid by the State ($50 million) of which 50% ($31 million) was allocated to the Board; UNC-CH's Biomedical Research Imaging Center was previously scheduled to be funded from the General Fund in 2009-10 and 2010-11. BRIC will now be funded from bonds at $223 million.

5. The 2010 General Assembly provided UNC with special indebtedness funding of $60 million for repairing and renovating facilities and infrastructure and $22 million for acquiring equipment for teaching and research in the fields of health, science, engineering and technology and completing related capital improvements. These authorizations were repealed by S.L. 2011-66.

6. The 2008 General Assembly appropriated $99,612,826 for capital projects and $32.1 million for repairs and renovations to the Board. All but $12.5 million were later reverted to the GF to help balance the 2008-09 State Budget.

7. Prior to distribution, S.L. 2012-2 and S.L. 2012-57 authorized the Director of the Budget to use up to $114,000,000 of the 2011 Repairs and Renovations to ensure adequate funding in the state Medicaid program for the 2011-12 fiscal year. On November 15, 2012, $33,074,722 was allocated to the University for 2011 Repairs and Renovations. This authorization was reduced to $10 million by S.L. 2011-66.

8. Due to other available funds, UNC-Chapel Hill has been reduced by 50%.

Notes:
1. This amount includes $45,827,400 from 2006 COPs.
2. The 2008 General Assembly appropriated $99,612,826 for capital projects and $32.1 million for repairs and renovations to the Board. All but $12.5 million were later reverted to the GF to help balance the 2008-09 State Budget.
3. The 2009 General Assembly reduced selected, previously approved 2004, 2007 and 2008 bond funded projects to reflect lower estimated levels of COPs
4. The 2009 General Assembly funded repairs and renovations with a combination of federal stimulus funds ($12 million) and bonds to be repaid by the State ($50 million) of which 50% ($31 million) was allocated to the Board; UNC-CH’s Biomedical Research Imaging Center was previously scheduled to be funded from the General Fund in 2009-10 and 2010-11. BRIC will now be funded from bonds at $223 million.
5. The 2010 General Assembly provided UNC with special indebtedness funding of $60 million for repairing and renovating facilities and infrastructure and $22 million for acquiring equipment for teaching and research in the fields of health, science, engineering and technology and completing related capital improvements. These authorizations were repealed by S.L. 2011-66.
6. The 2008 General Assembly provided UNC with special indebtedness funding of $25 million for system-wide land acquisitions. This authorization was reduced to $10 million by S.L. 2011-66.
7. Prior to distribution, S.L. 2012-2 and S.L. 2012-57 authorized the Director of the Budget to use up to $114,000,000 of the 2011 Repairs and Renovations to ensure adequate funding in the state Medicaid program for the 2011-12 fiscal year. On November 15, 2012, $33,074,722 was allocated to the University for 2011 Repairs and Renovations.
Agenda Item / Issue: 4.3C

Enterprise Risk Management and Compliance Update
   4.3C1 – Overview of University’s Organizational Compliance Program
   4.3C2 – Clery Act Compliance

Requested / Required Action:

None

Suggested Motion:

None
MEMORANDUM

TO: Warwick Arden  
Eileen Goldgeier  
Marc Hoit  
Charles Leffler  
Terri Lomax

FROM: W. Randolph Woodson  
Chancellor

SUBJECT: University Compliance Steering Committee

DATE: August 2, 2013

Integrity in our work and compliance with applicable laws and regulations are critical to our success as a major research institution. It is therefore imperative that the university maintain an effective organizational compliance and ethics program. In order to provide executive leadership and oversight of this program, I am forming the University Compliance Steering Committee (UCSC) and appointing each of you as a UCSC member. My office will schedule your first meeting in the near future, at which time I will further discuss your charge.

The UCSC’s mission is to promote excellence in our compliance efforts to assure compliance with our legal, regulatory, and ethical responsibilities. The UCSC is responsible for approving the university’s ethics, compliance, and training priorities and has oversight responsibility for the University’s compliance efforts, including fulfillment of these priorities. The UCSC will also serve as the primary point of contact for the administration on organizational compliance matters with the Audit, Risk Management and Finance Committee of the Board of Trustees.

The primary locus of compliance with applicable laws and regulations is in the academic and administrative units throughout the University, where the authority for policy development and the responsibility for implementation of compliance reside. A Compliance Officials Working Group (COWG) comprised of those officials with executive responsibility for key compliance areas and other appropriate officials should therefore also be formed. The UCSC should identify and appoint the members of the COWG as one of its first actions.

The UCSC should serve as an open avenue of communication on compliance issues among senior management and with the various university Compliance Officials. The UCSC should meet at least quarterly to review, discuss and provide direction regarding:

a. the university’s compliance environment and the substantive compliance initiatives for which the university’s academic and administrative units are responsible;
b. the priorities of the major units involved in compliance;
c. the activities of the university’s Compliance Officials and the COWG;
d. any significant compliance issues and related corrective action plans;
e. notices issued by regulators or other reports of alleged compliance violations, including;
f. reports to any compliance hot line maintained by the university, and any related investigations;
g. proposed new and revised compliance policies, rules, or regulations.

Deputy General Counsel Mike Poterala, supported by the Office of General Counsel, will serve as staff to the UCSC and Chair of the COWG.
UNIVERSITY COMPLIANCE STEERING COMMITTEE

1. **Background and Mission:** NC State University provides a supportive environment for scholars and students to engage in teaching, learning, research, outreach and engagement, and economic development, and to provide veterinary health care. Integrity in our work and compliance with applicable laws and regulations is critical to our academic enterprise and operations. The primary locus of compliance with applicable laws and regulations is in the academic and administrative units throughout the University, where the authority for policy development and the responsibility for implementation of compliance reside. The mission of the University Compliance Steering Committee (UCSC) is to promote excellence in all our compliance efforts to assure integrity and compliance with our legal, regulatory, and ethical responsibilities.

2. **Composition:** The members of the UCSC are the Provost and Executive Vice Chancellor, the Vice Chancellor for Finance and Business, the Vice Chancellor and General Counsel, the Vice Chancellor for Research, Innovation and Economic Development, and the Vice Chancellor for Information Technology and Chief Information Officer. The Deputy General Counsel, supported by the Office of General Counsel, serves as staff to the UCSC. Other persons may be invited to attend meetings at which items relevant to their areas of responsibility or concern are raised.

3. **UCSC Mandate:** The UCSC is responsible for approving the university’s ethics, compliance, and training priorities and has oversight responsibility for the university’s compliance efforts, including fulfilling these priorities. The UCSC is supported by the Deputy General Counsel and the University Compliance Officials Working Group. The UCSC serves as an open avenue of communication on compliance issues among senior management and with the various university Compliance Officials. The UCSC is also the primary point of contact for the administration on organizational compliance matters with the Audit, Risk Management and Finance Committee of the Board of Trustees.

4. **UCSC Specific Responsibilities:** The UCSC will meet at least quarterly to review, discuss and provide direction regarding:

   a. the university’s compliance environment and the substantive compliance initiatives for which the University’s academic and administrative units are responsible;
   b. the priorities of the major units involved in compliance;
   c. the activities of the university’s Compliance Officials and the COWG:
   d. any significant compliance issues and related corrective action plans;
   e. notices issued by regulators or other reports of alleged compliance violations, including reports to any hot line maintained by the university, and any related investigations; and
   f. proposed new and revised compliance policies, rules, or regulations.
Agenda Item / Issue: 4.4

Committee Discussion

Requested / Required Action:

None

Suggested Motion:

None
Agenda Item / Issue: 4.5

Reference Materials
   Investment Performance Review

Requested / Required Action:

None

Suggested Motion:

None
NC State Investment Fund, Inc.

NC State University, Campus Box 7207, 1210 Varsity Drive, Suite 202, Raleigh, NC 27695-7207

Fourth Quarter FY 2013
June 30, 2013

MARKET COMMENTARY

The Fund closed fiscal 2013 with $485 million in assets and 9 participants. The Fund’s one year performance was a solid 11.9%, compared with the UNCIF performance of 12.1%, and a policy index of 10.5%. The fund outperformed a number of benchmarks, including the Global Index, a composite benchmark comprised of 70% the All Country World Index (ACWI) and 30% Barclays Aggregate Fixed income Index, by 70 basis points. The three year return, for the three years ended June 30, 2013 was a very good 9.7% on average, slightly less than the return measured by the Policy Benchmark of 11.6% and a Global Index of 9.9%.

Investment performance in fiscal 2013 was supported by pockets of strength worldwide, balanced by continuing weakness in most of Europe. Performance for the first three year quarters of fiscal 2013 was marked by robust equity market performance. Fourth quarter performance was far weaker, driven by indications from the Federal Reserve Bank that the quantitative easing which sustained the market for so long may be coming to an end. Fixed income markets firmly entered bear territory in the fourth quarter, as US Treasury rates began to rise sharply. Nonetheless, fourth quarter was still positive for the Fund’s performance in contrast with the past three years where spring investment performance was marked by corrections.

The NCSIF is invested in a wide variety of asset types and asset classes. Our largest investment manager, UNCMC, invests 89% of the assets of the fund. UNCIF produced a 12.1% return for the 12 months ended June 30, 2013. The fund moved most of its assets to UNCIF from July 2008 to December 2009. The Fund’s private equity was 6% of the portfolio at 6/30/13 and the one year return was 12.3%, not dissimilar from performance for the Fund’s annual performance. The Fund’s newly established Liquid Policy Portfolio (LPP), managed by Blackrock, was 5% of the portfolio at June 30, and returned 11.7% for the 10 month period from initial investment to fiscal year end.

In summary, we believe the fund’s return was both competitive and favorable for fiscal 2013, and overall performance continues to meet our long term objectives.

PERFORMANCE

June 30, 2013

<table>
<thead>
<tr>
<th>Market Value: $485 million</th>
<th>Participants: 9</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance</td>
<td>QTR</td>
</tr>
<tr>
<td>Fund</td>
<td>1.4%</td>
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<tr>
<td>UNCIF</td>
<td>1.2%</td>
</tr>
<tr>
<td>Policy Index (1)</td>
<td>0.8%</td>
</tr>
<tr>
<td>Global Index (2)</td>
<td>-1.0%</td>
</tr>
<tr>
<td>BNY E&amp;F Median (3)</td>
<td>0.3%</td>
</tr>
</tbody>
</table>

Note 1: Policy Index= UNCIF Strategic Investment Policy Index (SIPP). For the 5 year & 10 year periods, Policy Index= Blended Historical Benchmark.
Note 2: Global Index= 70% ACWI; 30% Barclays Aggregate.
**Investment Strategy**

The Fund is managed as a broadly diversified portfolio with exposure to seven primary asset classes and many sub-strategies within each asset class. The Fund seeks to diversify exposure to the sub-strategies through the use of multiple investment managers that utilize a variety of investment approaches. The purpose of diversification is to provide reasonable assurance that no single security, class of securities, or investment manager has a disproportionate impact on the Fund’s aggregate results. At times, the Fund invests in passive strategies.

In working toward the Fund’s investment strategy, through UNCMC, the Fund invests in a number of niche managers that can employ different types of hedging strategies such as short-selling and derivative investing to help reduce the volatility of the Fund. The focus on controlling volatility preserves capital and benefits Fund participants through the power of compounding.

**UNC Management Company**

The UNCMC was established on January 1, 2003 as an exempt 501 (c)(3) organization. It is a professionally-staffed asset management company created to provide investment services to the University of North Carolina at Chapel Hill and its affiliated entities, to the constituent institutions of the UNC system and system affiliated foundations, associations, trusts, and endowments.

With 30 employees, UNCMC has two teams, Investment Management and Operations. The Investment Management team manages all public and private investments of the UNCIF. Their responsibilities include evaluating and monitoring investment managers, recommending changes to investment objectives and asset allocation and implementing investment decisions approved by Chapel Hill Investment Fund’s (CHIF) Executive Committee. The Operations Team performs all administrative, legal, accounting, and performance reporting duties.

**Actual Asset Allocation**

![Pie chart showing actual asset allocation with Long Biased Equity at 29%, Long/Short Equity at 22%, Diversifying Strategies at 16%, Fixed Income & Cash at 10%, Private Equity at 10%, Real Estate at 6%, and Energy & NR at 7%]

**Risk Profile**

3-Year Period Ended June 30, 2013

<table>
<thead>
<tr>
<th>Fund</th>
<th>Net Performance</th>
<th>Standard Deviation</th>
<th>Sharpe Ratio (1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fund</td>
<td>9.7%</td>
<td>4.1%</td>
<td>2.4</td>
</tr>
<tr>
<td>UNCIF</td>
<td>9.6%</td>
<td>4.6%</td>
<td>2.1</td>
</tr>
<tr>
<td>Policy Index</td>
<td>11.6%</td>
<td>6.4%</td>
<td>1.8</td>
</tr>
<tr>
<td>Global Index</td>
<td>9.9%</td>
<td>10.8%</td>
<td>0.9</td>
</tr>
</tbody>
</table>

**Allocation by Manager**

![Pie chart showing allocation by manager with UNCMC at 88.5%, Private Equity at 4.7%, STIF at 3.3%, JP MORGAN at 1.6%, SEI GLOBAL PE at 1.4%, and BLACKROCK LPP at 0.5%]

Note 1: Sharpe Ratio: Excess return per unit of risk
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY

Buildings and Property Committee
Time: 2:45 – 4:15 p.m., September 19, 2013
Holladay Hall Chancellor’s Conference Room
Lanier, Chair
Members: Clark, Mattocks, Murphy, Ramsey, Sall

AGENDA

CALL TO ORDER
Reading of the State Government Ethics Act

1. COMMITTEE RESPONSIBILITIES AND PROCEDURES TAB 1
   Kevin MacNaughton, Associate Vice Chancellor for Facilities
   • Review of Committee Responsibilities and Procedures 5.1.A

2. 2013-2014 COMMITTEE PLAN OF WORK TAB 2
   Gayle Lanier, Chair, Buildings and Property Committee
   • Review Plan of Work for Academic Year 5.2.A

3. CONSENT AGENDA TAB 3
   Minutes
   Kevin MacNaughton, Associate Vice Chancellor for Facilities
   • Approval of April 18, 2013 meeting minutes for open session 5.3.A.1
   • Approval of April 18, 2013 meeting minutes for closed session 5.3.A.2

Property Matters
Ralph Recchie, Real Estate Director
• Disposition by Severance: Demolition of trailer at 3227 Ligon Street that formerly housed Modular Dinoflagellate Facility. The trailer is in poor condition and no longer serves the University. 5.3.B

Designers and Construction Manager@Risk Selections
Kevin MacNaughton, Associate Vice Chancellor for Facilities
• Reynolds Coliseum Renovations CMR (Central Campus) 5.3.C.1
• Watauga Hall HVAC & Chiller Replacement (North Campus) 5.3.C.2
• Energy Performance Contract 4 – North, Central, Centennial Campuses 5.3.C.3
• Centennial Campus Substation Expansion 5.3.C.4
• Approval of Designer Selections Less Than $500,000 5.3.C.5

1 Material will be distributed to committee members at the meeting
Acceptance of Completed Buildings and Projects

Kevin MacNaughton, Associate Vice Chancellor for Facilities

- The University and Office of State Construction have accepted the attached list of completed buildings and projects with dollar values greater than $2,000,000. The University has accepted the attached list of completed buildings and projects with dollar values less than $2,000,000. All are recommended to the Buildings and Property Committee for formal acceptance. This listing represents buildings and projects received since the April 18, 2013 meeting.

***END OF CONSENT AGENDA ITEMS***

4. PROPERTY MATTERS (Received after Full Board Mailing) TAB 4

5. SITE REVIEW & APPROVAL TAB 5

Lisa Johnson, University Architect

- Reynolds Coliseum Renovation – Central Campus 5.5.A

6. PLAN APPROVAL TAB 6

Lisa Johnson, University Architect

- Approval of Plans and Specifications of Formal Projects less than $2 million 5.6.A

7. INFORMATIONAL REPORTS TAB 7

- The All-Encompassing Classroom: A Facilities Division Initiative Nicole Benson, Class of 2013 1(5.7.A.1)
- Centennial Campus Update (Michael Harwood, Associate Vice Chancellor For Centennial Campus Development Office) 5.7.A.2
- Facilities Condition Assessment Program Update (Jack Colby, Assistant Vice Chancellor for Facilities Operations) 5.7.A.3
- Capital Projects Update (Kevin MacNaughton) 5.7.A.4
- Status of Projects in Planning (Lisa Johnson) 5.7.A.5

ADJOURN

1 Material will be distributed to committee members at the meeting
The Buildings and Property Committee has the following delegated authority:

1. **Buildings and Real Property.**
   1.1 To maintain a master plan for the physical development of North Carolina State University.
   1.2 To select architects or engineers for buildings and improvements requiring such professional services.
   1.3 To select Construction Managers-at-Risk for buildings and improvements requiring such professional services.
   1.4 To approve building sites.
   1.5 To approve plans and specifications.
   1.6 To accept all completed buildings and projects.
   1.7 To approve all proposals involving acquisition or disposition of any interest in real property and for which authority has not been delegated to the Chancellor, provided that if the proposal involves an interest in real property valued at $50,000 or more, the matter shall be recommended by the Committee to the full Board of Trustees for its approval and forwarding to the Board of Governors.

2. **Policy Development**
   2.1 **Buildings and Property.** Upon the recommendation of the Chancellor, to recommend to the Board of Trustees the adoption of policies applicable to the control, operation and supervision of campus buildings and property pursuant to applicable provisions of State law and policies of the Board of Governors.

   2.2 **Traffic and Parking Regulations.** To review campus parking and traffic regulations and policies and on recommendation of the Chancellor to recommend changes to the Board of Trustees.
September

- Accept Completed Buildings and Projects (NC State Pol 01.05.1, App 1.II.a.vi) \([\text{Acceptance}]\)
- Acquisition and Disposition of Interests in Real Property (UNC Pol. Ch. 100.1, App.1 (VI)), (NC State Pol 01.05.1, App 1.II.a.vii) \((\text{Consider and approve property matters in a timely fashion to avoid adverse impact to the business of the University.})\)
- Architect Selection (NC State Pol 01.05.1, App 1, II.ii) and Construction Managers at Risk Selection (NC State Pol 01.05.1, App 1, II.iii) \((\text{Participate in designer and CMR selection interviews and approve selections in a timely manner to avoid impacts to project schedules.})\)
- Building Site, Plan and Specification Approval (NC State Pol 01.05.1, App 1, III.iv.v) \((\text{Review of project design plans for responsiveness to the vision of the physical master plan. Review and approve design projects in a timely manner to avoid impact to project design and construction schedule.})\)
- Capital Projects Update (UNC Pol. Ch. 100.1, App.1 (VI)) and Centennial Campus Update \((\text{Receive periodic updates and comment as warranted.})\)
- Facilities Condition Assessment Program Update \((\text{Receive update and comment as warranted.})\)
- Projects in Planning Status \((\text{Receive periodic updates and comment as warranted.})\)
- Review Committee Responsibilities \((\text{Annually})\)
- The All-Encompassing Classroom: A Facilities Division Initiative \((\text{Receive presentation and comment as warranted.})\)

November

- Accept Completed Buildings and Projects (NC State Pol 01.05.1, App 1.II.vi) \([\text{Acceptance}]\)
- Acquisition and Disposition of Interests in Real Property (UNC Pol. Ch. 100.1, App.1 (VI)), (NC State Pol 01.05.1, App 1.II.vi) \((\text{Consider and approve property matters in a timely fashion to avoid adverse impact to the business of the University.})\)
- Architect Selection (NC State Pol 01.05.1, App 1, II.ii) and Construction Managers at Risk Selection (NC State Pol 01.05.1, App 1, II.iii) \((\text{Participate in designer and CMR selection interviews and approve selections in a timely manner to avoid impacts to project schedules.})\)

Desired outcomes and measures of success are highlighted
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April

- Accept Completed Buildings and Projects (NC State Pol 01.05.1, App 1.ii.vi) [Acceptance]
- Acquisition and Disposition of Interests in Real Property (Policy Manual, Ch. 100.1, App.1 (VI)), (NC State Pol 01.05.1, App 1.II.vi) (Consider and approve property matters in a timely fashion to avoid adverse impact to the business of the University.)
- Architect Selection (NC State Pol 01.05.1, App 1, II.ii) and Construction Managers at Risk Selection (NC State Pol 01.05.1, App 1, II.iii) (Participate in designer and CMR selection interviews and approve selections in a timely manner to avoid impacts to project schedules.)
- Building Site, Plan and Specification Approval (NC State Pol 01.05.1, App 1, III.iv.v) (Review of project design plans for responsiveness to the vision of the physical master plan. Review and approve design projects in a timely manner to avoid impact to project design and construction schedule.)
- Capital Projects Update (Policy Manual, Ch. 100.1, App.1 (VI)) (Receive periodic updates and comment as warranted.)
- Parking and Transportation Ordinances (NC State Pol 07.60.01), (NCGS §116-44.4, §20-137.7) (Approval)
- Projects in Planning Status (Receive periodic updates and comment as warranted.)

Possible Site and Building Plan Approvals

- Reynolds Coliseum Renovation
- Centennial Campus Entrance at Trailwood

Desired outcomes and measures of success are highlighted
Agenda Item / Issue: Consent Agenda

Requested / Required Action: Approval of the items contained in the Consent Agenda to include committee meeting minutes for April 18, 2013 open and closed sessions, one property matter, designer selections, construction manager@risk selection, and acceptance of completed buildings and projects.

Suggested Motion: Move approval of the Consent Agenda.

Responsible University Unit Office of Finance & Business
University Presenter/Contact: Kevin MacNaughton, Associate Vice Chancellor for Facilities
Minutes

Meeting No.: 12-13: 4

Location: Primrose Hall Conference Room

Time: 2:48 – 4:15 p.m. and 4:31 – 4:32 p.m.

Committee Members Present:
Ms. Gayle Lanier, Chair
Mr. Jimmy Clark
Mr. Jack Cozort
Mr. Lawrence Davenport
Mr. Randall Ramsey
Mr. John Sall

Present from the University:
Mr. Charles Leffler, Vice Chancellor, Finance and Business
Mr. Marc Hoit, Vice Chancellor, Information Technology
Ms. Cecile Hinson, Director, Internal Audit Division
Mr. David Rainer, Associate Vice Chancellor, Environmental Health and Public Safety
Mr. Michael Harwood, Associate Vice Chancellor, Centennial Campus Development
Mr. Kevin MacNaughton, Associate Vice Chancellor, Facilities
Mr. Michael Poterala, Deputy General Counsel, Office of General Counsel
Mr. Brent McConkey, Assistant General Counsel, Office of General Counsel
Mr. Jack Colby, Assistant Vice Chancellor, Facilities Operations
Ms. Lisa Johnson, University Architect
Mr. Ralph Recchie, Director, Real Estate
Mr. Tom Kendig, Director, Transportation
Ms. Tracy Dixon, Director, University Sustainability Office
Ms. Lynn Burris, Executive Assistant, Facilities Division
Mr. Ron Grote, University Program Specialist, Facilities Division

STATE GOVERNMENT ETHICS ACT
At the beginning of the meeting, Chair Lanier reminded all members of their duty to avoid conflicts of interest and appearances of conflicts of interest under the State Government Ethics
Act and inquired as to whether there were any known conflicts of interest with respect to any matters coming before the Buildings and Property Committee at this meeting. John Sall said he would recuse himself from the property matter addressing the Disposition by Deed of approximately 80 acres at Trenton and Trinity Roads, Raleigh, NC by means of a land exchange of equal or greater value of multiple parcels to be identified by NC State as highly strategic properties to be acquired by Reedy Creek Investments, LLC, for the exchange.

CONSENT AGENDA
Chair Lanier asked whether there were any questions or comments about the February 21, 2013 meeting minutes. Lanier called for a motion to approve the minutes. Mr. Sall made the motion, which was seconded by Mr. Cozort and carried.

Chair Lanier asked Mr. Recchie to discuss the Disposition by Deed of approximately 80 acres at Trenton and Trinity Roads, Raleigh, NC by means of a land exchange of equal or greater value of multiple parcels to be identified by NC State as highly strategic properties to be acquired by Reedy Creek Investments, LLC, for the exchange, which requires full board approval.

Before Recchie began, Mr. Sall left the meeting room. Recchie showed the location of the 80 acres on a map. He said that by exchanging rather than selling the property outright the University would maximize the value of the disposition. An outright sale would mean that the money would go to the State of North Carolina General Fund and not to the University.

Chair Lanier asked whether the University approached the intended buyer or if the buyer approached the University. Recchie responded both parties have been talking about the property for some time now. Recently, the intended buyer approached the University, indicating that they have the funds available. Mr. Leffler added that now is the opportune time for the University to acquire the other properties. If we do not act now, we may never get the chance. Mr. Davenport asked about the properties the University would acquire. Mr. Leffler said he could only divulge that information in closed session.

Chair Lanier decided that the vote should be postponed until after the closed session when the proposed properties to be acquired could be described.

Mr. Sall returned to the meeting room and the committee resumed the open session.

Following the closed session that ended at 4:30 p.m., Chair Lanier called for a motion to approve the property matter. Mr. Cozort made the motion, which was seconded by Mr. Clark and carried.

Recchie discussed the three property matters that require Committee approval only. The property matters were:

- Acquisition by Lease of approximately 17,000 square feet on Centennial Campus for DELTA for a term of up to 5 years at a rate to be negotiated, but not to exceed $33.31 per square foot full service rent or a total initial rent of approximately $560,000 annually. The University had initially identified Venture II as the location for expansion.
University officials are working with the Venture II landlord and could find it necessary to relocate.

- Acquisition by Lease of approximately 22,500 square feet from Capital Associates in the proposed Flex Laboratory Building on the Centennial Biomedical Campus for use by the College of Veterinary Medicine for interdisciplinary research including additional colleges. The lease would be for a term of 10 years. This original property matter that was approved by the Full Board on July 15, 2009 was for 10,000 square feet. College representatives have recently identified the need for more space. The amount of 22,500 includes the original amount of 10,000 square feet.
- Disposition by Severance of four modular office units located at 1509 Varsity Drive measuring approximately 3,450 square feet in total. The units were constructed in 1982 and obtained from the USDA. The units are non-code compliant and are no longer suitable for their intended use. 4-H might use the units for storage. When appropriate, the University will arrange for their demolition.

Chair Lanier called for a motion to approve the three property matters. Mr. Sall made the motion, which was seconded by Mr. Cozort and carried.

Chair Lanier asked Mr. MacNaughton to address the other Consent Agenda items. MacNaughton discussed the 11 Designer selections and the 6 completed projects with a combined value of $2.3 million. The list includes acceptance of the upfit of the Milking Parlor at a cost of $786,228.
Chair Lanier called for a motion to approve the balance of the Consent Agenda items. Mr. Ramsey made the motion, which was seconded by Cozort and carried.

PARKING AND TRANSPORTATION
Chair Lanier asked Mr. Kendig to discuss the Proposed Revision to Policy 7.60.1 Parking and Transportation Ordinances 2013-2014 that requires Full Board approval. Kendig outlined the recommended changes:

- Add new parking designation RC to keep up with growth on Centennial Campus. RC designates parking for the new residential housing that will be available in August.
- Create price point differential between SV (service vehicles) permit and UV (state-plated University owned/leased vehicle) permit to incentivize exchanges of SV for UV when service space access is not operationally essential.
- Increase parking permit costs by 3% on average, which means employee permits will increase $9-12 year and student majority will range from $6-9 year.
- Eliminate A1 and A2 designations that have outlived usefulness (A4, Holladay Hall reserved lot lone remaining designated A lot).

Chair Lanier called for a motion to approve the Proposed Revision to Policy 7.60.1 Parking and Transportation Ordinances 2013-2014. Mr. Ramsey made the motion, which was seconded by Mr. Sall and carried.

PHYSICAL MASTER PLAN
Ms. Johnson discussed the work that has taken place thus far on the update of the Physical Master Plan. Workshops have been held in each of the five campus district, plus a workshop for
Finance and Business staff and a student workshop. A total of 329 faculty, students, staff, community and facilitators participated in the seven workshops. They focused on the following seven areas:

- Coordination of Academic Programming and Physical Planning
- Mixed-use Activities
- Design Harmony, and Human-scaled Neighborhoods and Paths
- Sustainability
- Pedestrian-oriented Campus
- Effective Vehicular Movement
- Other Planning Issues

The overarching issues identified by the workshops participants were:

- North-south paths are lacking, need strengthening
- Branding at edges needs to expanded
- Increase shared open spaces on campus
- Improve transit and travel to and from Centennial Campus
- Improve pedestrian crossing at Western Blvd.
- Increase opportunities to collaborate

Mr. Clark said that with the focus on Centennial Campus we also need to work on rejuvenation of North Campus. Ms. Johnson stated that an issue that has created a lot of discussion in the Centennial Campus Task Force is the idea of promoting ‘One-Campus’. How do we make the NC State University campus feel connected? How do we better unify campus? Mr. Cozort suggested that it might be a good idea to drop the word Campus from North Campus Precinct and the other precincts so that it would read North Precinct, etc. Chair Lanier pointed out that students want to have pride in their university and so branding is of utmost importance. Mr. Leffler added that Chancellor Woodson has stated we need to brand the University and refrain from highlighting individual colleges above the University.

Concerning the physical unification of campuses, Leffler reminded the trustees of the planned extension of Pullen Road across Western Boulevard to Centennial Parkway. Lanier asked how quickly that might happen. Leffler responded that the property is owned by the Raleigh Archdiocese and is dependent on funding of the planned cathedral, which has about one half of the funding required. With that in mind, he thought the road might be built in three to five years. Mr. Davenport asked whether Jim Goodman, President and CEO of Capital Broadcasting Company, was in favor of the road construction. Leffler said he was.

**PLAN APPROVAL**

Ms. Johnson presented nine Plans and Specifications of Formal Projects less than $2 million for approval. Chair Lanier called for a motion to approve. Mr. Sall made the motion, which was seconded by Mr. Cozort and carried.

**INFORMATIONAL REPORTS**

In his update on the status of Centennial Campus Development, Mr. Harwood said that the opening of Hunt Library has resulted in a huge transformation of Centennial. The Greens
apartments that are in construction will bring another element along with the planned Town Center, and the Conference Center and Hotel. He told the committee that the University recently secured franchise approval for the Conference Center and Hotel with Hyatt Properties.

The committee also received short updates about other Capital Projects and the Status of Projects in Planning.

Mr. Colby presented a detailed report about the Sustainability Program. Colby said we are creating a leaner, smarter, stronger NC State that improves the environment, economy and society.

Focus areas are:
- Energy & water
- Green Development
- Waste Reduction
- Transportation
- Academics & Research
- Community & Culture

Campus energy management programs have helped avoid over $20 Million in purchased utilities (electric, natural gas, fuel oil, and water) over the last decade. Energy consumption has decreased 13 percent since 2002 and water consumption has decreased 40 percent in the same time period.

Green Development Initiatives:
- Strategic space utilization
- 1.2M GSF of LEED registered space anticipating certification
- Small projects check list
- Sustainability Task Force of the Physical Master Plan update

Waste Reduction Initiatives:
- 47% landfill diversion rate
- 28% dining hall food purchases from local sources
- Wolf Pack N Give
- “Green” purchasing
- Electronics recycling
- Walkway recycling

Transportation Initiatives:
- >2.7 million Wolfline boardings last year
- 18 electric vehicle charging stations
- Wolf trails alternative transportation
- Wolf Wheels bike rental
- Dan Allen gate closure
Academics & Research Initiatives:
- Environmental Sciences Academic Program
- College-based sustainability coordinators
- Eco Living & Learning Village
- Energy Council
- Campus as a laboratory

Community & Culture Initiatives:
- NC State Stewards (student peer educators)
- Change Your State (behavior change campaign)
- Green Brick Awards
- Partnership with Athletics
- Certified Wolfpack Green Events

The University has received seven sustainability-related awards and held over 50 events. It is working on:
- Sustainability policy
- UNCGA sustainability policy & energy challenge
- “Change Your State” Initiative
- Metrics to track progress

There being no additional business, the open session of the meeting adjourned at 4:15 p.m.

Respectfully submitted,

Kevin J. MacNaughton
Secretary to the Committee

cc: Charles Leffler, Vice Chancellor, Finance & Business
    P.J. Teal, Assistant Secretary of the Trustees

Approved: ____________________________________________________________

                     Committee Chair                Date
DISPOSITION
OF REAL PROPERTY

Severance/Demolition

GRANTOR

State of North Carolina for North Carolina State University

GRANTEE

N/A

LOCATION

NC State University, West Campus, 3227 Ligon Street, Raleigh, NC

SIZE

±709 gross sq. ft., trailer – Univ. Bldg. #163C (SPO Bldg. # 163A), Asset #309

RATE

N/A

TERM

N/A

USE

Severance/demolition of the trailer/modular building located at the West Research Annex. The trailer is in poor condition and no longer serves the University. The University will arrange for removal.
STATE OF NORTH CAROLINA  
Department of Administration  
*DISPOSITION OF REAL PROPERTY*

Institution or Agency: North Carolina State University  
Date: July 25, 2013

The Department of Administration is requested, as provided by GS 146-28 to dispose of the real property herein described by (sale), (lease), (rental), or (other specify): SEVERANCE/DEMOLITION

The disposition is recommended for the following reasons: The trailer/modular building located on the University’s West Campus at the West Research Annex is in poor condition and no longer serves the University. The University will arrange for the removal of the trailer/modular building.

**Description of Property:**

<table>
<thead>
<tr>
<th>Building</th>
<th>Construction</th>
<th>Size</th>
<th>Condition</th>
<th>Age</th>
<th>Complex #</th>
<th>Asset #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modular Dinoflagellate Facility</td>
<td>Trailer</td>
<td>±709SF</td>
<td>Poor</td>
<td>±20</td>
<td>1-92-18</td>
<td>309</td>
</tr>
</tbody>
</table>

Univ. Bldg. #163C  
(SPO Bldg. #163A)  
3227 Ligon Street

Term: N/A

Estimated value: N/A

Where deed is filed, if known: N/A

If deed is in the name of agency other than applicant, state the name. N/A

Rental income, if applicable, and suggested terms: N/A

Funds from the disposal of this property are recommended for the following use. N/A

Action recommending this transaction was taken by the Buildings and Property Committee of the Board of Trustees at its meeting held on

Signature [Signature]  
Chancellor

*The term "real property" includes timber rights, mineral rights, etc. (GS 146-64)*
**Reynolds Coliseum Renovation – CM@Risk**

Total Project Scope $35,000,000 ($15M Appropriated/$20M Athletics/Wolfpack Club))

- **03/22/13** Advertised in NC Purchase Directory
- **04/19/13** Closing date for submittals
  (11 proposals received)
- **04/19/13** Appointment of Selection Committee
  By Kevin MacNaughton, Secretary – Buildings and Property Committee
- **04/19/13** – Selection Committee review (short list):
  - 06/04/13 Lisa Johnson, University Architect
  - Sumayya Jones-Humienny, Associate University Architect
  - Bill Davis, Project Manager, Capital Project Management
  - Cameron Smith, Director, Capital Project Management
  - Carolyn Axtman, Associate Director Design, Capital Project Management
  - Michael Lipitz, Senior Associate Athletic Director, Athletics
  - Charlie Marshall, Associate Director, Capital Project Management
  - Barry Joyce, Assistant Athletic Director, Athletics
- **05/10/13** Short list recommendation by Selection Committee:
  - TA Loving – Goldsboro, NC
  - Clancy & Theys – Raleigh, NC
  - RN Rouse – Raleigh, NC
- **05/13/13** Short list approved by Gayle Lanier
- **05/23/13** Pre-interview briefing of design firms
- **06/04/13** Firms interviewed. Recommendation in priority order:
  - Danis (formerly RN Rouse) – Raleigh, NC
  - Clancy & Theys – Raleigh, NC and RJ Leeper – Charlotte, NC (joint venture)
  - TA Loving – Goldsboro, NC

Those involved:
- Jimmy Clark, Trustee
- Ken Redfoot, Corley Redfoot Architects (non-voting)
- Andy Cruikshank, Corley Redfoot Architects (non-voting)
- Lisa Johnson, University Architect
- Sumayya Jones-Humienny, Associate University Architect (non-voting)
- Bill Davis, Project Manager, Capital Project Management
- Cameron Smith, Director, Capital Project Management
- Carolyn Axtman, Associate Director Design, Capital Project Mgmt. (non-voting)
- Michael Lipitz, Senior Associate Athletic Director, Athletics
- Charlie Marshall, Associate Director, Capital Project Mgmt. (non-voting)
- Barry Joyce, Assistant Athletic Director, Athletics
Watauga Hall HVAC and Chiller Replacement
Total Project Scope $1,800,000 (Debt)

03/21/13  Advertised in NC Purchase Directory

04/22/13  Closing date for submittals
           (12 proposals received)

04/25/13  Appointment of Selection Committee
           By Kevin MacNaughton, Secretary – Buildings and Property Committee

04/25/13-  Selection Committee review:
06/05/13   NA, Trustee
           David Hammock, Project Manager, Capital Project Management
           Sean Fokes, Engineering Technician, University Housing
           Scott Scherer, Construction Supervisor, University Housing
           Cynthia Williford, Planner, Office of the University Architect
           Cameron Smith, Director of Design and Construction Services, Capital Project Management
           Charles Marshall, Associate Director, Capital Project Management

05/07/13  Short list recommendation by Selection Committee:
           IBI Group of North Carolina, PC – Raleigh, NC
           McKim & Creed – Raleigh, NC
           RDK Engineers – Durham, NC

05/07/13  Short list approved by Gayle Lanier

05/13/13  Pre-interview briefing of design firms

06/05/13  Firms interviewed. Recommendation in priority order:
           McKim & Creed – Raleigh, NC
           RDK Engineers – Durham, NC
           IBI Group of North Carolina, PC – Raleigh, NC

Those involved:
David Hammock, Project Manager, Capital Project Management
Sean Fokes, Engineering Technician, University Housing
Scott Scherer, Construction Supervisor, University Housing
Cynthia Williford, Planner, Office of the University Architect
Cameron Smith, Director, Capital Project Management
Charles Marshall, Associate Director, Capital Project Management
Mark Michaelson, Capital Project Management
Pete Fraccaroli, Engineer, University Housing
Energy Performance Contracting 4
Total Project Scope $10,000,000 (Debt-Repaid by Energy Savings)

02/12/13 Advertised in NC Purchase Directory

03/14/13 Closing date for submittals
(12 proposals received)

03/15/13 Appointment of Selection Committee
By Kevin MacNaughton, Secretary – Buildings and Property Committee

03/15/13- Selection Committee review:
04/19/13 Randy Ramsey, Trustee
Lisa Johnson, University Architect
Steve Bostian, Project Manager, Capital Project Management
Allen Boyette, Direct of Building Maintenance and Operation, Facilities Dept.
Jack Colby, Assist Vice Chancellor for Facilities Operations
Cameron Smith, Director, Capital Project Management
Carolyn Axtman, Associate Director of Design, Capital Project Management

04/04/13 Short list recommendation by Selection Committee:
AEI Affiliated Engineers, Inc. – Chapel Hill, NC
Jacobs, Engineering Group, Inc. – Raleigh, NC
McKim & Creed – Raleigh, NC

04/05/13 Short list approved by Gayle Lanier

04/09/13 Pre-interview briefing of design firms

04/19/13 Firms interviewed. Recommendation in priority order:
AEI Affiliated Engineers, Inc. – Chapel Hill, NC
McKim & Creed – Raleigh, NC
Jacobs, Engineering Group, Inc. – Raleigh, NC

Those involved:
Randy Ramsey, Trustee
Lisa Johnson, University Architect
Steve Bostian, Project Manager, Capital Project Management
Allen Boyette, Direct of Building Maintenance and Operation, Facilities Dept.
Jack Colby, Assist Vice Chancellor for Facilities Operations
Cameron Smith, Director, Capital Project Management
Carolyn Axtman, Associate Director of Design, Capital Project Management
Centennial Campus Substation Expansion
Total Project Scope $5,600,000 (R&R Funding)
Design Amount $400,000

02/22/13  Advertised in NC Purchase Directory

03/19/13  Closing date for submittals
           (10 proposals received)

3/22/13    Appointment of Selection Committee
           By Kevin MacNaughton, Secretary – Buildings and Property Committee

03/22/13-04/28/13 Selection Committee review:
           NA, Trustee
           Lisa Johnson, University Architect
           Damian Lallathin, Project Manager, Capital Project Management
           Cameron Smith, Director, Capital Project Management
           Marvin Williams, Capital Project Management
           Charles Marshall, Associate Director, Capital Project Management
           Alan Daeke, Associate Director for Utilities Services

04/02/13    Short list recommendation by Selection Committee:
           Jacobs Engineering – Raleigh, NC
           Mesa Associates, Inc. – Knoxville, TN
           Utility Technology – Asheboro, NC

04/04/13    Short list approved by Gayle Lanier

04/10/13    Pre-interview briefing of design firms

04/28/13    Firms interviewed. Recommendation in priority order:
           Jacobs Engineering – Raleigh, NC
           Utility Technology – Asheboro, NC
           Mesa Associates, Inc. – Knoxville, TN

Those involved:
Damian Lallathin, Project Manager, Capital Project Management
Cameron Smith, Director, Capital Project Management
Charles Marshall, Associate Director, Capital Project Management
Sumayya, Jones-Humieny, Associate University Architect
Alan Daeke, Associate Director for Utilities Services
Eric Dean, Power Systems Engineer
Jeff Hightower, Director Utility Infrastructure Planning
**Approval of Designer Selections Less than $500,000**

**Note:** The projects below are submitted to the Trustees’ Buildings and Property Committee for formal approval of designer selections for projects less than $500,000 that are not on the OESAD list. This listing represents designers selected since March 15, 2013.

<table>
<thead>
<tr>
<th>Project</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Bragaw Substation</strong></td>
<td>Design Fee: $49,500</td>
</tr>
<tr>
<td>Designer: Jacobs Engineering, Cary, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>CBC Dam Improvements Study</strong></td>
<td>Design Fee: $13,275</td>
</tr>
<tr>
<td>Designer: Froehling &amp; Robertston, Inc, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>CBC Dam Improvements Surveying</strong></td>
<td>Design Fee: $7,725</td>
</tr>
<tr>
<td>Designer: Riley Surveying, PA, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>CBC Wayfinding Signage</strong></td>
<td>Design Fee: $5,500</td>
</tr>
<tr>
<td>Designer: OBS Landscape Architects, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>Centennial Tree Conservation Plan Amendment 2013</strong></td>
<td>Design Fee: $4,000</td>
</tr>
<tr>
<td>Designer: OBS Landscaping Architects, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>CFEP Biltmore Lab Upgrades</strong></td>
<td>Design Fee: $45,006</td>
</tr>
<tr>
<td>Designer: Flad Architects, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>CHASS Office Improvements</strong></td>
<td>Design Fee: $29,650</td>
</tr>
<tr>
<td>Designer: Gensler, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental/Facilities</td>
<td></td>
</tr>
<tr>
<td><strong>Corporate Research I 2nd Floor Offices</strong></td>
<td>Design Fee: $10,800</td>
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<tr>
<td>Designer: New City Design Group, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>CVM Anatomy Lab Renovation</strong></td>
<td>Design Fee: $17,000</td>
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<tr>
<td>Designer: BBH Design, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td>Project Description</td>
<td>Design Fee:</td>
</tr>
<tr>
<td>---------------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td><strong>CVM Annex Hazardous Waste Facility</strong></td>
<td>$29,000</td>
</tr>
<tr>
<td>Designer: RGG Architects, Durham, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Capital</td>
<td></td>
</tr>
<tr>
<td><strong>CVM Education Building Study</strong></td>
<td>$49,900</td>
</tr>
<tr>
<td>Designer: Flad Architects, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>Main Campus Storm Water Master Plan Study</strong></td>
<td>$49,900</td>
</tr>
<tr>
<td>Designer: Stantec Consulting Services, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Funding: Capital</td>
<td></td>
</tr>
<tr>
<td><strong>Mann Hall Classroom 307 Upgrades</strong></td>
<td>$12,500</td>
</tr>
<tr>
<td>Designer: AECOM, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Capital</td>
<td></td>
</tr>
<tr>
<td><strong>Nelson Hall Basement Labs B400</strong></td>
<td>$26,400</td>
</tr>
<tr>
<td>Designer: Little Diversified, Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Funding: Departmental</td>
<td></td>
</tr>
</tbody>
</table>
## Buildings and Property Committee
### Board of Trustees
### Acceptance of Completed Buildings and Projects

<table>
<thead>
<tr>
<th>Code/Item</th>
<th>Project#</th>
<th>Location</th>
<th>Title</th>
<th>Project Cost</th>
<th>University Acceptance</th>
</tr>
</thead>
<tbody>
<tr>
<td>NA / NA</td>
<td>201211029</td>
<td>Carmichael Gym</td>
<td>Switchgear</td>
<td>$203,727</td>
<td>2/13/2013</td>
</tr>
<tr>
<td>40824 / 313</td>
<td>201211057</td>
<td>Warren Carrol Drive</td>
<td>Parking Expansion</td>
<td>$119,744</td>
<td>4/5/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>201011105</td>
<td>Daniels Hall</td>
<td>Traction Freight Elevator</td>
<td>$271,994</td>
<td>5/7/2013</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Modernization</td>
<td></td>
<td></td>
</tr>
<tr>
<td>41024 / 305</td>
<td>201020017</td>
<td>Sullivan Substation</td>
<td>Expansion</td>
<td>$5,005,328</td>
<td>5/16/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>201211070</td>
<td>Lot 86 Groundwater Treatment Building</td>
<td>Sewer Hookup</td>
<td>$113,351</td>
<td>6/6/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>201020010</td>
<td>Scott Hall</td>
<td>Chilled Water Connection</td>
<td>$569,292</td>
<td>6/7/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>201312030</td>
<td>Carmichael Gym</td>
<td>Resurfacing of Basketball Courts</td>
<td>$109,852</td>
<td>6/13/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>201312005</td>
<td>Riddick Field House</td>
<td>Demolition</td>
<td>$143,969</td>
<td>6/14/2013</td>
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<tr>
<td>41024 / 309</td>
<td>201020016</td>
<td>Early College High School</td>
<td>Renovation of the Cherry Building</td>
<td>$3,281,822</td>
<td>7/2/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>201311008</td>
<td>Bowen Residence Hall</td>
<td>Window and Storefront Replacement</td>
<td>$298,000</td>
<td>7/24/2013</td>
</tr>
<tr>
<td>41024 / 312</td>
<td>201020027</td>
<td>Lee Residence Hall</td>
<td>Renovations</td>
<td>$2,100,000</td>
<td>8/1/2013</td>
</tr>
<tr>
<td>40824 / 314</td>
<td>200920008</td>
<td>Wolf Ridge Tower Hall</td>
<td>New Building</td>
<td>$30,000,000</td>
<td>8/1/2013</td>
</tr>
<tr>
<td>40824 / 314</td>
<td>200920008</td>
<td>Wolf Ridge Lakeview Hall</td>
<td>New Building</td>
<td>$14,000,000</td>
<td>8/1/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>20111105</td>
<td>Partners I</td>
<td>CMDF Telecom Generator</td>
<td>$346,105</td>
<td>8/1/2013</td>
</tr>
<tr>
<td>NA / NA</td>
<td>201311025</td>
<td>Jordan Hall</td>
<td>CFEP: Classroom Renovation of Rooms 2106, 2112, 2115, 2128, 4117, 4120, 4120A, 4120B</td>
<td>$275,980</td>
<td>08/06/13</td>
</tr>
</tbody>
</table>

**TOTAL** $56,839,164
**Agenda Item / Issue:** 5.5.A Site Plan Approval / Reynolds Coliseum Renovation – Central Campus

**Requested / Required Action:** Approval

**Functions:**
Reynolds Coliseum was built in 1949 and is approximately 200,000 GSF. The renovation of Reynolds Coliseum will provide a new Athletics Walk of Fame and History exhibit within the northern third of the existing building. The project scope includes renovations to the women’s basketball and volleyball offices as well as the ROTC spaces. Arena level improvements include modifications to the court, new telescopic courtside seating and minimal improvements to upper level seating. Also included are mechanical, electrical, plumbing, fire alarm and sprinkler improvements as well as structural modifications, building code compliance upgrades.

**Project Scope:**

<table>
<thead>
<tr>
<th>Item</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design/Consultant Costs</td>
<td>$3,263,693</td>
</tr>
<tr>
<td>Construction</td>
<td>$23,500,000</td>
</tr>
<tr>
<td>Contingency/Other Project Costs</td>
<td>$8,263,307</td>
</tr>
<tr>
<td><strong>Total Project Budget</strong></td>
<td><strong>$35,000,000</strong></td>
</tr>
</tbody>
</table>

**Design Team:**
Corley Redfoot Architects, Inc. – Lead Designer
360 Architecture – Sports Facilities Designer
Bass Nixon & Kennedy, Inc. (MEP & FP)

**Master Plan Summary:**
Reynolds Coliseum is one of the nine Hallowed Places designated in the Physical Master Plan. The Master Plan requires that any alterations to a Hollowed Place be given special consideration by the campus community. Alterations to the exterior of Reynolds will require this special consideration. Exterior changes include window and door replacements and low profile, roof top, mechanical equipment (southern end of the roof).

**Recommendation:** Initial CDRP review will be on November 20, 2013.
Suggested Motion: Move approval of site plans for the Reynolds Coliseum Renovation.

Funding Source: University/Athletics/Wolfpack Club - $35,000,000

**Responsible University unit**  
Office of Finance and Business, Facilities Division

**University Presenter/Contact:**  
Lisa Johnson, University Architect
CONTEXT STUDY - MASTER PLAN
2013.08.12

NC State University
REYNOLDS COLISEUM RENOVATIONS & WALK OF FAME
Advanced Planning Package
<table>
<thead>
<tr>
<th>Type</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Court Side Seats</td>
<td>120</td>
</tr>
<tr>
<td>New Telescopic Platform Seats</td>
<td>1200</td>
</tr>
<tr>
<td>Center Court Rail Seats</td>
<td>220</td>
</tr>
<tr>
<td>Permanent Seats</td>
<td>3820</td>
</tr>
<tr>
<td>ADA Seats</td>
<td>40</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>5400</strong></td>
</tr>
</tbody>
</table>
Floor Seats 2108
Permanent Seats 4050
ADA Seats 42
Total 6200

NC State University
REYNOLDS COLISEUM RENOVATIONS & WALK OF FAME
Advanced Planning Package
### Approval of Plans and Specifications of Formal Projects

#### Less Than $2,000,000

**Note:** The projects below are submitted to the Trustees’ Buildings and Property Committee for formal acceptance of plans and specifications. This listing represents projects received since April 18, 2013 meeting.

<table>
<thead>
<tr>
<th>Project</th>
<th>Construction Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Centennial Entrance at Trailwood</td>
<td>$ 929,370</td>
</tr>
<tr>
<td>Designer: OBS Landscape Architects</td>
<td></td>
</tr>
<tr>
<td>Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>Dorothy and Roy Park Alumni Center</strong></td>
<td>$ 750,000</td>
</tr>
<tr>
<td>HVAC Improvements</td>
<td></td>
</tr>
<tr>
<td>Designer: Stanford White</td>
<td></td>
</tr>
<tr>
<td>Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Facilities</td>
<td></td>
</tr>
<tr>
<td><strong>Centennial Multipurpose Trail</strong></td>
<td>$ 678,147</td>
</tr>
<tr>
<td>To Lake Wheeler and Trailwood</td>
<td></td>
</tr>
<tr>
<td>Designer: Reynolds &amp; Jewell</td>
<td></td>
</tr>
<tr>
<td>Raleigh, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>Witherspoon Student Center</strong></td>
<td>$ 620,180</td>
</tr>
<tr>
<td>West Improvements</td>
<td></td>
</tr>
<tr>
<td>Designer: Corley Redfoot Architects</td>
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</tr>
<tr>
<td>Chapel Hill, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>Centennial Campus</strong></td>
<td>$ 528,900</td>
</tr>
<tr>
<td>Water Reuse Utility Connections</td>
<td></td>
</tr>
<tr>
<td>Designer: Affiliated Engineers</td>
<td></td>
</tr>
<tr>
<td>Chapel Hill, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>Main Distribution Frame</strong></td>
<td>$ 555,563</td>
</tr>
<tr>
<td>Dan Allen SMDF Telecom Building</td>
<td></td>
</tr>
<tr>
<td>Main Electric Service Upgrade</td>
<td></td>
</tr>
<tr>
<td>Designer: Edmondson Engineers, P.A.</td>
<td></td>
</tr>
<tr>
<td>Durham, NC</td>
<td></td>
</tr>
<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
</tbody>
</table>
Approval of Plans and Specifications of Formal Projects
Less than $2,000,000

Ricks Hall $ 553,825
CFEP: Bioinformatics
Designer: Innovative Design, Inc.
Raleigh, NC
Fund Source: University Strategic Funds

CVM Annex $ 350,000
Hazardous Waste Facility
Designer: RGG Architects
Durham, NC
Fund Source: Repair & Renovation

Jordan Hall $ 348,100
CFEP: Classroom Renovations
Designer: Swanson + Stewart Architects
Raleigh, NC
Fund Source: University Strategic Funds

Thomas Hall $ 337,874
CFEP: Forensic Science Lab Renovation
Designer: Wagner Architecture
New Hill, NC
Fund Source: University Strategic Funds

Jordan Hall $ 303,000
CFEP: Renovate Biolab 6136
Designer: Wagner Architecture
New Hill, NC
Fund Source: University Strategic Funds

Bragaw Substation $ 300,000
Replacement of Switch Gear Circuit Breaker Relays
Designer: Jacobs Engineering
Cary, NC
Fund Source: Departmental

Bostian Hall $ 290,000
CFEP Genetics Teaching Lab Renovation Rm 4705A
Designer: RGG Architects
Durham, NC
Fund Source: University Strategic Funds
5.6.A

Approval of Plans and Specifications of Formal Projects
Less than $2,000,000

Cox Hall
CFEP Renovations Suites 406 and 410, 408 and 408A
Designer: Architecktur, PA
Raleigh, NC
Fund Source: University Strategic Funds
$ 224,671

McKimmon Extension Education Center
AV Infrastructure Pathways/Control Room
Designer: The Wooten Company
Raleigh, NC
Fund Source: Departmental
$ 212,753

SAS Hall
CFEP: 5th Fl Graduate Students’ Offices Renovation
Designer: Architecktur PA
Raleigh, NC
Fund Source: University Strategic Funds
$ 201,201

Dabney Hall
Renovate Room 222
Designer: Szostak Design
Chapel Hill, NC
Fund Source: Departmental
$ 200,000

Nelson Hall
Renovate Lab B400
Designer: Little Diversified Architectural Consulting
Charlotte, NC
Fund Source: Departmental
$ 200,000

Daniels Hall, Winston Hall
Renovate Delta Classroom
Designer: Winstead Wilkinson Architects
Raleigh, NC
Fund Source: Departmental
$ 200,000

College of Textiles
CFEP: Dye Library
Designer: Edmondson Engineers, PA
Durham, NC
Fund Source: University Strategic Funds
$ 194,762

Office of the University Architect
September 19, 2013
Approval of Plans and Specifications of Formal Projects
Less than $2,000,000

**Primrose Hall**
Exterior Waterproofing
Designer: IBI Group of NC
    Raleigh, NC
Fund Source: Repair and Renovations

**Reynolds Coliseum**
Site Work at Talley
Designer: OBS Landscape Architects
    Raleigh, NC
Fund Source: Facilities

**Cox Hall**
CFEP: Renovations to Suite 404
Designer: Architecktur PA
    Raleigh, NC
Fund Source: University Strategic Funds

**Centennial Biomedical Center Deck**
North Sidewalk
Designer: Sepi Engineering
    Raleigh, NC
Fund Source: Facilities

**Varsity Gateway**
Lighting
Designer: Sigma Engineered Solutions
    Morrisville, NC
Fund Source: Facilities

**Mann Hall**
Renovate Classroom 307
Designer: AECOM Services Of NC
    Raleigh, NC
Fund Source: Repair & Renovation

**Ricks Hall**
Switchboard Replacement
Designer: Edmondson Engineers, PA
    Durham, NC
Fund Source: Facilities
ALLIANCE ONE BUILDING

Scope: 145,000 s.f. office building with structured parking.
Developer: SM Alliance, LLC
Designer: Jenkins-Peer Architects
Budget: Approximately $37,000,000
Funding: Private Developer
Status: Grading and foundations completed. Pre-leasing activities underway.
Construction Start: January 2012 (grading & foundations)
Completion: February 2015

THE GREENS AT CENTENNIAL

Scope: Market-Based Multi-Family Residential Rental Housing Development
Developer: Capital Associates
Designer: Humphries & Partners
Budget: $29,000,000
Funding: Private Developer
Status: Clubhouse almost complete, Building One rough-in is underway, Building Two is being framed and Building Three slab is being poured.
Completion: November 2013 (first building)

WOLF RIDGE APARTMENTS

Scope: Student apartments, 1195 beds
Developer: SM Alliance, LLC
Designer: Jenkins-Peer Architects
Budget: Approximately $37,000,000
Funding: Private Developer
Status: Grading and foundations completed. Pre-leasing activities underway.
Completion: February 2015

Centennial Campus and Biomedical Campus Project Status Report
Board of Trustees – Building and Property Committee September 19, 2013
(Actions since April 18, 2013 Report)
**NORTH SHORE RESIDENTIAL**

**Scope:** For Sale Private Residential Condominiums
**Developer:** White Oak Properties
**Designer:** J. Davis Architects
**Budget:** TBD
**Funding:** Private Developer
**Status:** Negotiating ground lease and development agreement with White Oak. Waiting on homeowner’s consent to changes in their HOA covenants. City of Raleigh has approved site plan concepts.

**Construction Start:** Fall 2013
**Completion:** Multi-phase with the first phase of construction being townhouses.

**CONFERENCE CENTER and HOTEL**

**Scope:** Conference Center with Hotel on south shore of Lake Raleigh.
**Developer:** Concord Eastridge, Inc.
**Designer:** Cooper Carry Architects
**Budget:** Approximately $28,000,000
**Funding:** Private Developer
**Status:** Developer is pursuing financing for 150 rooms and 7,500 s.f. of meeting space

**Construction Start:** Spring 2014
**Completion:** Spring 2015

**TOWN CENTER**

**Scope:** 500,000 s.f. on 17 acres with ground floor Retail and offices with residential space above
**Developer:** Selection process to begin in late 2013
**Designer:** TBD
**Budget:** Expected to be more than $75 million
**Funding:** Private Developer
**Status:** Urban Land Institute conducted an analysis of the proposed scope and recommended more office space with less retail space.

**Construction Start:** Targeting early 2016
**Completion:** Depends upon phasing
FLEX BUILDING
CENTENNIAL
BIOMEDICAL CAMPUS

Scope: 44,500 s.f. Flexible Laboratory Building for CVM & Partner Occupancy
Developer: Capital Associates
Designer: Jenkins Peer
Budget: $10,300,000
Funding: Private Developer
Status: Ground lease and space lease negotiations underway.
Construction Start: Targeting early 2014
Completion: TBD
Facilities Condition Assessment Program
2012-2013 Annual Report

Buildings and Property Committee Briefing
September 19, 2013
University Property Statewide

1263 Buildings and Facilities
17,305,566 GSF
$ 4,275 Billion CRV
The Core Campus

Main Campus
Centennial Campus
+ Centennial Biomedical Campus

The Core Campus
433 Buildings
15,682,705 GSF (91% of Statewide GSF)
$4,152 Billion CRV (97% of Statewide CRV)
FCAP Program Mission

• To assess and quantify capital renewal and deferred maintenance needs

• To create a management tool for determining R&R priorities

• To create a centralized database for building deficiencies

• Assess 292 state-appropriated assets within a 3-5 year period
State-Appropriated Buildings

292 Buildings
8,061,698 GSF
$ 2,913 Billion CRV
$ 362 Million Deferred Maintenance and Capital Renewal Backlog
Facility Condition Index (FCI)

292 State Appropriated Buildings

\[
FCI = \frac{\text{Deficiency Backlog}}{\text{Current Replacement Value}}
\]

\[
FCI = \frac{\$362,387,387}{\$2,913,127,804} = 0.124
\]

Rising FCI = Deteriorating Conditions

Average Age of Appropriated Bldg. - 36.4 yrs
15 Buildings with Highest FCIs

FCI range of 0.29 to 0.53

Weaver Administration Building, Dearstyn Avian Health Center, Bureau of Mines, Holiday Hall, Williams Hall, Erdahl Cloud Wing, Carmichael Gym, Hillsborough Bldg, Brooks Hall, West Dunn Bldg, Bostian Hall, Ricks Hall Addition, Patterson Hall, Research I, Gardner Hall
$362M Backlog - Percentage by System

- **33.3%** HVAC Systems
- **20.5%** Electrical Systems
- **13.8%** Exterior / Finishes
- **12.5%** Interior / Finishes
- **6.7%** Plumbing Systems
- **6.6%** Fire/Life Safety
- **2.9%** Accessibility
- **2.4%** Health
- **0.9%** Vertical Transportation
- **0.2%** Site
- **0.0%** Security

100.0%

**67.1%** of identified deficiencies are in building systems that are critical to the mission of the university
Failed Heat Exchanger - Hillsborough
AHU in state of repair at CVM Power Plant
Chiller in need of replacement – Jordan Hall
Condensate leak between Carmichael and Talley, on Cates Ave.
Failed breaker - Carmichael
Collapsed attic decking – 3709 Hillsborough Street
Brick veneer out of plane – Riddick
Failed roofing system – Gardner
79% of maintenance backlog will become critical within five years.
Appropriated R&R & Recommended Funding
(in State Appropriated Buildings)

State appropriated Only
Recommended Funding & Actual Funding

- APPA Recommended Funding @ 3% Reinvestment Rate
- Appropriated Annual R&R Funding

10 year average = $9.5 Mill / per yr
Maintain Average Funding Level (in State Appropriated Buildings)

FCI will exceed .25 in 20 years with today’s averaged funding
Backlog will grow to 1.5 Billion after 20 years at current average funding
Conclusions

- Facility Condition Index continues to rise.
- Surveyed deficiencies are increasing by $10 million per year.
- Building systems critical to the mission of the university are deteriorating.
- R&R funding levels are insufficient to reduce the rising D.M. backlog.
- $40 million a year required to stabilize facility conditions.
- Reduced maintenance funding is accelerating deferred maintenance need.
What Is Happening

• Use FCAP data to raise visibility of the trend to support a Capital Reinvestment Strategy.

• Work with SCO task force to increase visibility within state government.

• Leverage space issues, operating hours, and asset utilization to more effectively use our space.

What Is Next

• Leverage SCO data to raise Legislative awareness.

• UNC Systems Legislative agenda for short sessions.

• Assign a cost to inaction and continued deferral.
Facilities Condition Assessment Program
2012-2013 Annual Report

Buildings and Property Committee Briefing
September 19, 2013
<table>
<thead>
<tr>
<th>Code/Item</th>
<th>Project Name</th>
<th>Status</th>
<th>Bid</th>
<th>Expected Acceptance</th>
<th>Remarks</th>
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<tbody>
<tr>
<td>41224 306</td>
<td>CCUP Capacity Expansion</td>
<td>In Design</td>
<td>9/25/13</td>
<td>7/28/14</td>
<td>SCO CD Review Underway</td>
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<tr>
<td>41224 303</td>
<td>College of Textiles - Classroom &amp; Graduate School</td>
<td>In Design</td>
<td>10/8/13</td>
<td>7/31/14</td>
<td>CD Production Underway</td>
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<tr>
<td>41224 304</td>
<td>Data Center II</td>
<td>In Design</td>
<td>10/31/13</td>
<td>6/18/14</td>
<td>CD Production Underway</td>
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<tr>
<td>41224 301</td>
<td>Phytotron Performance Contract</td>
<td>In Design</td>
<td>1/6/14</td>
<td>8/8/14</td>
<td>SCO CD Review Underway</td>
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<tr>
<td>41242 302</td>
<td>CVM 3rd Floor Lab Module C Renov.</td>
<td>In Design</td>
<td>1/9/14</td>
<td>9/19/14</td>
<td>CD Production Underway</td>
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<tr>
<td>41024 314</td>
<td>Facilities Operations Support - CBC</td>
<td>In Design</td>
<td>1/31/14</td>
<td>9/10/14</td>
<td>CD Production Underway</td>
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<tr>
<td>41224 310</td>
<td>Centennial Campus - Gateway at Trailwood</td>
<td>In Design</td>
<td>1/31/14</td>
<td>9/22/14</td>
<td>SD/DD Production Underway</td>
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<tr>
<td>40824 304</td>
<td>Partners I - HVAC</td>
<td>In Design</td>
<td>3/18/14</td>
<td>10/9/14</td>
<td>SD/DD Production Underway</td>
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<tr>
<td>41224 311</td>
<td>Reynolds Coliseum Renovation</td>
<td>In Design</td>
<td>3/27/14</td>
<td>8/4/14</td>
<td>SD/DD Production Underway</td>
</tr>
<tr>
<td>41224 310</td>
<td>Centennial Campus Substation Expansion</td>
<td>In Design</td>
<td>10/15/14</td>
<td>10/23/15</td>
<td>Programming Underway</td>
</tr>
<tr>
<td>41224 311</td>
<td>Lee &amp; Sullivan Residence Halls Room Renovations</td>
<td>In Construction</td>
<td>1/21/15</td>
<td>12/17/15</td>
<td>Study Underway</td>
</tr>
<tr>
<td>41224 312</td>
<td>Coliseum Parking Deck - LED Lighting Upgrade</td>
<td>In Construction</td>
<td>8/15/13</td>
<td>87% Construction Complete</td>
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</tr>
<tr>
<td>41024 315</td>
<td>Yarbrough Chiller Plant Capacity Expansion</td>
<td>In Construction</td>
<td>8/19/13</td>
<td>99% Construction Complete</td>
<td></td>
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<tr>
<td>41024 316</td>
<td>(Cogen) Cates &amp; Yarbrough Plants - Boiler</td>
<td>In Construction</td>
<td>8/21/13</td>
<td>95% Construction Complete</td>
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<tr>
<td>41024 305</td>
<td>Sullivan Substation Redundancy</td>
<td>In Construction</td>
<td>8/23/13</td>
<td>99% Construction Complete</td>
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<tr>
<td>41024 308</td>
<td>Phytotron Renovation - Grant Funded Project</td>
<td>In Construction</td>
<td>8/30/13</td>
<td>99% Construction Complete</td>
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<tr>
<td>41224 308</td>
<td>Golden Leaf Biofuels Pilot Plant</td>
<td>In Construction</td>
<td>8/30/13</td>
<td>60% Construction Complete</td>
<td></td>
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<tr>
<td>41224 309</td>
<td>McKimmon Café &amp; Kitchen Renovation</td>
<td>In Construction</td>
<td>8/30/13</td>
<td>80% Construction Complete</td>
<td></td>
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<tr>
<td>41224 307</td>
<td>MAST MMRI Facility Addition</td>
<td>In Construction</td>
<td>9/27/13</td>
<td>25% Construction Complete</td>
<td></td>
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<tr>
<td>41224 314</td>
<td>Witherspoon West Improvements</td>
<td>In Construction</td>
<td>10/15/13</td>
<td>5% Construction Complete</td>
<td></td>
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<tr>
<td>41124 309</td>
<td>Steam Phase VIII</td>
<td>In Construction</td>
<td>10/29/13</td>
<td>7% Construction Complete</td>
<td></td>
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<tr>
<td>41024 305</td>
<td>Western Manor Exterior Improvements</td>
<td>In Construction</td>
<td>11/1/13</td>
<td>35% Construction Complete</td>
<td></td>
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<tr>
<td>41124 304</td>
<td>Robertson, Biltmore, Pulp &amp; Paper and Jordan Hall - HVAC Renovation</td>
<td>In Construction</td>
<td>1/3/14</td>
<td>65% Construction Complete</td>
<td></td>
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<tr>
<td>40824 304</td>
<td>CRI - Lab for Analytical Sciences (LAS)</td>
<td>In Award</td>
<td>1/27/14</td>
<td>Preparing Construction Contract</td>
<td></td>
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<tr>
<td>41224 305</td>
<td>Cates Ave. - Chilled Water Trunk Main</td>
<td>In Construction</td>
<td>2/7/14</td>
<td>70% Construction Complete</td>
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<tr>
<td>40724 301</td>
<td>Centennial Campus Student Housing - Wolf Ridge</td>
<td>In Construction</td>
<td>8/1/14</td>
<td>68% Construction complete</td>
<td></td>
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<tr>
<td>40824 313</td>
<td>Talley Student Center Addition and Renovation</td>
<td>In Construction</td>
<td>2/3/15</td>
<td>50% Construction complete</td>
<td></td>
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<tr>
<td>41024 309</td>
<td>Early College High School</td>
<td>Complete</td>
<td>7/22/13</td>
<td>Acceptance Date 7/22/13</td>
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<tr>
<td>41024 306</td>
<td>Broughton Hall</td>
<td>On Hold</td>
<td></td>
<td>SD approved; Project On Hold</td>
<td></td>
</tr>
<tr>
<td>40624 307</td>
<td>Greek Village Townhomes</td>
<td>On Hold</td>
<td></td>
<td>Design Selected; Project On Hold</td>
<td></td>
</tr>
<tr>
<td>40824 315</td>
<td>Gregg Museum</td>
<td>On Hold</td>
<td></td>
<td>DD's approved; Project On Hold</td>
<td></td>
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<tr>
<td>40624 320</td>
<td>NCSU Bell Tower Masonry Repairs, Waterproof, &amp; Tuckpoint</td>
<td>On Hold</td>
<td></td>
<td>Project On Hold</td>
<td></td>
</tr>
<tr>
<td>40724 306</td>
<td>Schaub Food Science Building - Dairy Retail Facility</td>
<td>On Hold</td>
<td></td>
<td>Fundraising underway in Jan. 2010; business plan not yet approved; Project On Hold</td>
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<tr>
<td>SUBMITAL (NUMBER)</td>
<td>PROJECT NAME</td>
<td>SCOPE</td>
<td>DESIGNER</td>
<td>PHYSICAL ENVIRONMENT COMMITTEE</td>
<td>TRUSTEE’S SPC APPROVAL</td>
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<tr>
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<td>---------------------------------</td>
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</tr>
<tr>
<td>017</td>
<td>Conference Center/Hotel</td>
<td>$500,000</td>
<td>Concord Eastridge</td>
<td>2/19/09</td>
<td>4/24/02</td>
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<tr>
<td>126</td>
<td>Broughton Hall Addition &amp; Renovation</td>
<td>$600,000</td>
<td>O’Brien Atkins</td>
<td>2/26/12</td>
<td>9/20/12</td>
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<tr>
<td>128</td>
<td>Reynolds Coliseum Renovation</td>
<td>$35,000</td>
<td>Carley Redfoot</td>
<td>9/19/13</td>
<td>11/19/13</td>
</tr>
</tbody>
</table>

**Upcoming Projects**

- Centennial Entrance at Trailhead $900,000 OBS Landscape Architects 3/5/13 9/25/13
- Non-Voters Pilot Facility $30,500,000 Clark Nexsen 10/22/09

**Approved Projects**

- North Shore Residential Project - Phase I $25,000,000 White Oak Properties 2/11/09 2/18/09 4/20/09 11/16/09 11/16/09 4/27/00 12/14/15
- Center for Marine Sciences & Technology (CMAST) $1,500,000 Maune Belangia Facility Architects 3/31/05 N/A N/A 4/26/06 11/16/06
- Centennial Biomedical Campus Flex Building $10,000,000 Capital Associates Jenkins-Peek Architects 4/19/07 5/6/07 8/23/07 5/20/07 7/23/07 9/20/07 On Hold
- Greek Village - Sigma Nu House $3,000,000 Gresen Architects 9/27/08 9/4/08 9/18/08 3/30/09
- Alliance Center $27,500,000 Craig Davis Properties Jenkins-Peek Architects 3/28/04 2/26/09 5/8/09 9/16/10 11/20/08 11/16/11 (Deck) 10/27/10 10/16/10 11/16/10
- Bush Dairy Facility $2,400,000 Cherry Huffman Architects 8/27/08 5/27/09
- Yates Mill Multipurpose Building $200,000 J.G. Craig, Architects 11/18/09 11/18/09 2/18/10 12/18/10
- Talley Student Center Addition and Renovation $120,000,000 Duda PAT 8/28/09 11/18/10 12/2/10 4/21/11 4/21/11 4/21/11 4/21/11
- Dan Allen Gateway $171,000 OBS Landscape Architects and Planners 12/16/10 N/A N/A 3/30/11 3/30/11
- Centennial Campus Student Housing $125,000,000 LS3P Associates, Ltd. 10/18/09 11/18/10 12/2/10 4/21/11 4/21/11
- Johnson Tennis Center Weightroom Addition $500,000 WHA Architects 3/30/11
- Student Services Center $2,000,000 Winstead Wilkinson Architects 10/26/11 10/26/11 10/26/11 10/26/11 10/26/11 10/26/11
- Varsity Drive Gateway $150,000 OBS Landscape Architects 9/16/11 N/A N/A 10/26/11 10/26/11 10/26/11
- Gregg Museum of Art and Design $7,500,000 Fossion & Associates 11/18/11 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10 11/18/10
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<th>SUBMITTAL</th>
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<th>SCOPE</th>
<th>FIRM NAME</th>
<th>DATE SELECTED</th>
<th>REVIEW</th>
<th>APPROVAL</th>
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<th>REVIEW</th>
<th>APPROVAL</th>
<th>CONSTRUCTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>127</td>
<td>Bell View Hotel (Aloft Hotel)</td>
<td>$15,000,000</td>
<td>Sandman Law Investments</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>6/10/13</td>
<td>5/29/2013</td>
<td>NA</td>
<td>June, 2014</td>
<td>August, 2015</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Trustees’ Buildings and Property Committee**

**Campus Design Review Panel**

**STATUS OF PROJECTS IN PLANNING**

Updated August 26, 2013
AGENDA

CALL TO ORDER - *Chair Clark reads State Government Ethics Act*

1. REVIEW COMMITTEE RESPONSIBILITIES  
   Tab 6.1  
   A. Review Work Plan for FY’14

2. CONSENT AGENDA  
   Tab 6.2  
   A. Approval of April 18, 2013 Minutes*

3. INFORMATIONAL REPORTS  
   Tab 6.3  
   A. Fund Raising Report – FY’13

4. TOPICS FOR DISCUSSION  
   Tab 6.4  
   A. JC Raulston Arboretum Facilities Naming Plan*  
      *Ted Bilderback, Director for the Arboretum  
      *Catherine Maxwell, Director of Development
   B. External Affairs Update  
      *Kevin Howell, Assistant to the Chancellor for External Affairs  
      and Interim Vice Chancellor for University Advancement
   C. Campaign Priorities  
      *Laurie Reinhardt-Plotnik, Associate Vice Chancellor, Development

5. CLOSED SESSION  
   Tab 6.5  
   A. Approval of April 18, 2013 Minutes*
   B. Request approval for Naming Specific University Facilities and Programs √

RECONVENE OPEN SESSION

ADJOURN

* Committee Approval  
√ Full Board Approval
IV. University Advancement and External Affairs Committee
Delegated Authority and Assignments

a. Development and Advancement Activities

i. Approve all university fundraising campaigns.

ii. Advise the chancellor and vice chancellor for university advancement on the formation of campaign steering committees.

iii. Advise the chancellor and vice chancellor for university advancement on the priority, timing, direction, funding and management of capital and other fundraising campaigns.

iv. Recommend to the Board of Trustees for approval the naming of all facilities and programs, owned, operated or controlled by the university.

v. Advise the chancellor in all areas pertaining to development, advancement services, university communications and alumni relations.

vi. Receive nominations for the Watauga Medals and recommend nominees for approval to the Board of Trustees.

vii. Receive regular reports on University Communications and NC State Alumni Association activities and initiatives.

b. External Affairs

iii. Receive regular reports on the activities of the state legislature.

c. Policy Development

i. Upon the recommendation of the chancellor, recommend to the Board of Trustees for approval policies related to the relationship between the university
and its affiliated foundations and the coordination of all fundraising activities intended to benefit the university.

ii. Upon the recommendation of the chancellor, recommend to the Board of Trustees for approval policies including but not limited to such matters as the conduct of fundraising campaigns, and the use and application of privately donated funds for any activity whose sponsorship may implicate or obligate the university.

iii. Upon the recommendation of the chancellor, recommend to the Board of Trustees for approval policies regarding fundraising activities intended to benefit the Endowment Fund and various affiliated foundations.

iv. Recommend naming guidelines for endowed funds, and facilities and programs funded in whole or in part by private monies.

v. Upon recommendation of the chancellor, recommend to the Board of Trustees for approval policies regarding the awarding of the Watauga Medal.
September

- Fund Raising Reports (NC State Pol. 01.05.01, App IV.a) Provide periodic updates
- Fund Raising Naming Plans (NC State Pol. 01.05.01, App IV.a.i.,a.iii) (Review all naming plans for campaigns, verify spaces meet minimum requirements) (Requires Committee Approval)
- External Affairs Update (NC State Pol. 01.05.01, App IV.b.iii) (Provide an update of activities of the state legislature)
- Review Campaign Priorities (NC State Pol. 01.05.01, App IV.a.iii) (Review and provide update on campaign priorities as part of the University’s Strategic Plan)
- Naming Specific University Facilities and Programs (NC State Pol. 01.05.01, App IV.a.iv) (Review all proposals to name facilities or programs as recommended by the Special Donor and Honorary Committees) (Committee and Full Board Approval Required)
- Review Committee Responsibilities and Work Plan (Annually)

November

- Fund Raising Reports (NC State Pol. 01.05.01, App IV.a) Provide periodic updates
- Fund Raising Naming Plans (NC State Pol. 01.05.01, App IV.a.i.,a.iii) (Review all naming plans for campaigns, discuss spaces meeting minimum requirements) (Requires Committee Approval)
- Alumni Engagement Update (NC State Pol. 01.05.01, App IV.a.vii) (Provide periodic report on activities and initiatives)
- Campaign Update (NC State Pol. 01.05.01, App IV.a.iii) (Review campaign results periodically)
- Watauga Medal Nominations (NC State Pol. 01.05.01, App IV.a.vi) (Review nominations and recommend to the Full Board nominees for the highest award given by the University) (Committee and Full Board Approval Required)
- Naming Specific University Facilities and Programs (NC State Pol. 01.05.01, App IV.a.iv) (Review all proposals to name facilities or programs as recommended by the Special Donor and Honorary Committees) (Committee and Full Board Approval Required)

February

- Fund Raising Reports (NC State Pol. 01.05.01, App IV.a) Provide periodic updates
- Fund Raising Naming Plans (NC State Pol. 01.05.01, App IV.a.i.,a.iii) (Review all naming plans for campaigns, verify spaces meet minimum requirements) (Requires Committee Approval)
- Campaign Update (NC State Pol. 01.05.01, App IV.a.iii) (Review campaign results periodically)

Desired outcomes and measures of success are highlighted
NC STATE BOARD OF TRUSTEES
UNIVERSITY ADVANCEMENT AND EXTERNAL AFFAIRS COMMITTEE
2013-2014 PLAN OF WORK

- University Communications/Brand Update (NC State Pol.01.05.01, App IV.a.vii) *(Provide periodic updates on branding and other communication initiatives)*
- Naming Specific University Facilities and Programs (NC State Pol. 01.05.01, App IV.a.iv) (Review all proposals to name facilities or programs as recommended by the Special Donor and Honorary Committees) *(Committee and Full Board Approval Required)*

April
- Fund Raising Reports (NC State Pol. 01.05.01, App IV.a) Provide periodic updates
- Fund Raising Naming Plans (NC State Pol. 01.05.01, App IV.a.i,a.iii) *(Review all naming plans for campaigns, verify spaces meet minimum requirements) (Requires Committee Approval)*
- Campaign Update (NC State Pol.01.05.01, App IV.a.iii) *(Review campaign results periodically)*
- External Affairs Update (NC State Pol. 01.05.01, App IV.b.iii) *(Provide an update of activities of the state legislature)*
- Naming Specific University Facilities and Programs (NC State Pol. 01.05.01, App IV.a.iv) (Review all proposals to name facilities or programs as recommended by the Special Donor and Honorary Committees) *(Committee and Full Board Approval Required)*

Desired outcomes and measures of success are highlighted
University Advancement Committee
Board of Trustees
North Carolina State University
April 18, 2013

The University Advancement Committee of the Board of Trustees of North Carolina State University met in Open Session at 1:00 p.m. in the Chancellor’s Conference Room in Holladay Hall. All members were in attendance.

Members Present: Benjamin P. Jenkins III, Chair
Jimmy Clark
Jack L. Cozort
Bob Mattocks
Randy Ramsey
Susan Ward
Barbara Mulkey, Board of Trustees, Chair

Others Present: Brad Bohlander, Associate Vice Chancellor, University Communications
Nevin E. Kessler, Vice Chancellor, University Advancement
Laurie Reinhardt-Plotnik, Associate Vice Chancellor, University Development (appointment effective March 4, 2013)
Hilda Renfrow, Executive Assistant, University Advancement
Benny Suggs, Associate Vice Chancellor, Alumni Relations
John Taylor, Associate Vice Chancellor, Advancement Services
Shawn Troxler, General Counsel
Steve Watt, Executive Director, Office of Gift Planning

Chair Ben Jenkins called the session to order and read the State of North Carolina’s Government Ethics Act.

Susan Ward made a motion to approve the February 21, 2013 minutes, seconded by Jack Cozort, and the motion carried.

Laurie Reinhardt-Plotnik, Associate Vice Chancellor for University Development provided an update on capital projects and a progress report on fundraising through March 31, 2013. Due to some significant seven and eight figure gifts received this year, we will easily exceed our $120 million fund raising goal for the year. Fund raising is up 31% year-to-date.

Brad Bohlander provided an update on University Communications' significant progress and successes over the last year, focusing particularly on how these strategic efforts have laid the groundwork for a successful Brand Refresh process at NC State. Bob and Marlene Brock from the Educational Marketing Group, who are partnering with the university on the rebranding effort, provided the Committee with a sneak preview of its market research study results.

The presentation and the ensuing conversation with members of the Committee identified key points. The main points of interest were in-state top-of-mind and overall awareness; NC State is
third behind UNC-Chapel Hill and Duke in this area. In the category of willingness to recommend the institution to others, NC State ranks second only to Chapel Hill. Given the many recent changes at NC State, the internal audiences differed about what the University stands for. The report indicated that there was no clear consensus on NC State’s top competitive advantages and core values that emerged across the audiences that were surveyed. It was clear that the University needs to work on its brand and messaging.

The one area that appears to be the most important to all who participated in the survey was the university’s reputation for high academic quality. This is an area where there was a gap between importance – very high – and perception of quality at NC State – not as high. Similar gaps were found in our track record in getting students good jobs or into graduate school, and good student advising and career planning. The survey results suggest that there is much work to be done in both improving our performance, and communicating more effectively the success that we enjoy in these areas. Our externals have a stronger perception of NC State, than our internals, which include alumni, students, faculty/staff, and board members.

The consultants also conducted a brand audit, and not surprisingly, given our historic decentralization, NC State presents itself as a collection of many different semi-independent brands vs. one powerful brand. There is way too much reliance on print, especially in the colleges and units, and not enough cutting edge digital work. Co-branding – as evidenced by multiple logos and messaging sets – is common, further diluting brand impact while confusing audiences.

Chair Jenkins reported that on April 30, the leadership of the University, including himself and several other members of the Board of Trustees, will meet to discuss the findings and create the core NC State University brand platform which will be the foundation of the university's public identity and used to shape consistent internal and external communications strategies. The firm’s early recommendations include better coordination of communications efforts across campus, and greater investment in paid advertising for institutional marketing. Another recommendation was getting cabinet-level authority over the NC State name and identity, to ensure coordinated graphic identity across campus and stop the proliferation of college and unit-based logos. It was suggested to look at how we promote Centennial Campus, tying it much more closely to NC State.

Committee members agreed with the recommendations, but cautioned that given the decentralized nature of the institution, getting buy-in from the colleges was going to be crucial to the success of the rebranding effort.

In Closed Session, the Committee reviewed and approved three proposals to name specific university facilities. A motion will be made at the end of this meeting to go into Closed Session to consider the naming opportunities.

Respectfully submitted,

Benjamin P. Jenkins
Chair
## Gifts and New Commitments by Gift Source
### (Outright Gifts and New Commitments - No Pledge Payments)
#### July 1, 2012 to June 30, 2013

<table>
<thead>
<tr>
<th>Source</th>
<th>Alumni</th>
<th>Parents</th>
<th>Faculty Staff</th>
<th>Other Individuals</th>
<th>Corporations</th>
<th>Foundations</th>
<th>Other Organizations</th>
<th>Year-to-date FY '13 Totals</th>
<th>Year-to-date FY '12 Totals</th>
<th>Year End FY '12 Totals</th>
<th>FY12/FY11 Period % Change</th>
<th>Year End FY '12 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture and Life Sciences</td>
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<td>$9,270,165</td>
<td>$9,159,456</td>
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<td>$28,558,813</td>
<td>$25,302,649</td>
<td>13%</td>
<td>$25,302,649</td>
<td>2%</td>
</tr>
<tr>
<td>College of Design</td>
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<td>$660</td>
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<td>$24,240</td>
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<td>4%</td>
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<td>$326,848</td>
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<td>$638,186</td>
<td>$1,052,862</td>
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<td>$1,052,862</td>
<td>1%</td>
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<td>College of Humanities &amp; Social Sciences</td>
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<td>$25,360</td>
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<td>$28,962</td>
<td>$299,065</td>
<td>$500</td>
<td>$1,476,152</td>
<td>$904,249</td>
<td>63%</td>
<td>$904,249</td>
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</tr>
<tr>
<td>Poole College of Management</td>
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<tr>
<td>College of Natural Resources</td>
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<td>$2,620</td>
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<td>$410,279</td>
<td>$93,141</td>
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<td>$9,032,025</td>
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<tr>
<td>College of Physical &amp; Mathematical Sciences</td>
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<td>2%</td>
</tr>
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<td>College of Textiles</td>
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<td>$11,110</td>
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<td>$916,106</td>
<td>$265,005</td>
<td>$5,255</td>
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<tr>
<td>College of Veterinary Medicine</td>
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<td>$10,882,923</td>
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<tr>
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<td>$56,480</td>
<td>$11,600</td>
<td>$679,901</td>
<td>$730,435</td>
<td>-7%</td>
<td>$730,435</td>
<td>1%</td>
</tr>
<tr>
<td>ARTS NC State</td>
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<td>$1,885</td>
<td>$16,609</td>
<td>$527,436</td>
<td>$122,134</td>
<td>$45,195</td>
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<td>$1,000,420</td>
<td>24%</td>
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<td>0%</td>
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<tr>
<td>Libraries</td>
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<tr>
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<td>$30,326,899</td>
<td>223%</td>
<td>$30,326,899</td>
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</tr>
<tr>
<td>Wolfpack Club/Athletics</td>
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<td>$10</td>
<td>$87,499</td>
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<td>$32,200</td>
<td>$800</td>
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<tr>
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<td>$111,364,891</td>
<td>78%</td>
<td>$111,364,891</td>
<td>0%</td>
</tr>
</tbody>
</table>
## NC State University

**Gifts and New Commitments by Gift Type**  
*(Outright Gifts and New Commitments - No Pledge Payments)*  
**July 1, 2012 to June 30, 2013**

<table>
<thead>
<tr>
<th>College</th>
<th>Cash Gifts</th>
<th>Gifts-in-Kind</th>
<th>Matching Gifts</th>
<th>PG Life Income</th>
<th>Realized Bequests</th>
<th>Bequest Expectancies</th>
<th>Pledges</th>
<th>Year-to-date FY '13 Totals</th>
<th>Year-to-date FY '12 Totals</th>
<th>Year End FY '12 Totals</th>
<th>YTD Period % Change FY12/FY13</th>
<th>Year End FY '12 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture and Life Sciences</td>
<td>$15,919,782</td>
<td>$384,998</td>
<td>$73,476</td>
<td>$10,101</td>
<td>$205,363</td>
<td>$2,795,833</td>
<td>$9,169,261</td>
<td>$28,558,813</td>
<td>$25,302,649</td>
<td>13%</td>
<td>$25,302,649</td>
<td></td>
</tr>
<tr>
<td>College of Design</td>
<td>$676,357</td>
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<td>$0</td>
<td>$0</td>
<td>$500,000</td>
<td>$21,586</td>
<td>$1,201,948</td>
<td>$698,606</td>
<td>72%</td>
<td>$698,606</td>
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</tr>
<tr>
<td>College of Education</td>
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<td>$49,488</td>
<td>$0</td>
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<td>$638,186</td>
<td>$1,052,862</td>
<td>-39%</td>
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<tr>
<td>College of Engineering</td>
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<td>$10,007,866</td>
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<td>$17,482,577</td>
<td>$11,584,896</td>
<td>51%</td>
<td>$11,584,896</td>
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<td></td>
</tr>
<tr>
<td>College of Humanities &amp; Social Sciences</td>
<td>$644,090</td>
<td>$2,100</td>
<td>$20,618</td>
<td>$4,265</td>
<td>$0</td>
<td>$0</td>
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<td>$1,476,152</td>
<td>$904,249</td>
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</tr>
<tr>
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<td>$0</td>
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<td>$2,106,767</td>
<td>9%</td>
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</tr>
<tr>
<td>College of Natural Resources</td>
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<td>$42,270</td>
<td>$30,058</td>
<td>$7,250,000</td>
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<td>$9,032,025</td>
<td>$2,488,007</td>
<td>263%</td>
<td>$2,488,007</td>
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</tr>
<tr>
<td>College of Physical &amp; Mathematical Sciences</td>
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<td>$0</td>
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<td>$2,397,597</td>
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</tr>
<tr>
<td>College of Textiles</td>
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<td>$1,468</td>
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<td>$0</td>
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<td>$4,374,701</td>
<td>$893,636</td>
<td>390%</td>
<td>$893,636</td>
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<tr>
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<td>$21,359</td>
<td>$0</td>
<td>$170,078</td>
<td>$5,255,000</td>
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<td>$10,882,923</td>
<td>$8,906,393</td>
<td>22%</td>
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<td>$679,901</td>
<td>$730,435</td>
<td>-7%</td>
<td>$730,435</td>
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</tr>
<tr>
<td>ARTS NC State</td>
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<td>$111,555</td>
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<td>$0</td>
<td>$30,000</td>
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<td>$1,243,265</td>
<td>$1,000,420</td>
<td>24%</td>
<td>$1,000,420</td>
<td></td>
</tr>
<tr>
<td>Libraries</td>
<td>$1,011,734</td>
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<tr>
<td>University-wide</td>
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<td>$30,326,899</td>
<td>223%</td>
<td>$30,326,899</td>
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</tr>
<tr>
<td>Wolfpack Club/Athletics</td>
<td>$12,493,503</td>
<td>$399,089</td>
<td>$191,545</td>
<td>$1,628</td>
<td>$34,343</td>
<td>$665,000</td>
<td>$2,569,797</td>
<td>$16,354,905</td>
<td>$20,906,571</td>
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<td>$20,906,571</td>
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</tr>
<tr>
<td><strong>Total</strong></td>
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<td><strong>$225,303</strong></td>
<td><strong>$745,240</strong></td>
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<td><strong>$69,397,498</strong></td>
<td><strong>$198,214,355</strong></td>
<td><strong>$111,364,891</strong></td>
<td>78%</td>
<td><strong>$111,364,891</strong></td>
<td></td>
</tr>
</tbody>
</table>
### NC State University
**Gifts and New Commitments by Gift Use**
*(Outright Gifts and New Commitments - No Pledge Payments)*
**July 1, 2012 to June 30, 2013**

<table>
<thead>
<tr>
<th>College</th>
<th>Current Operations</th>
<th>Current Operations</th>
<th>Endowment</th>
<th>Endowment</th>
<th>Facilities</th>
<th>Year-to-date FY '13 Totals</th>
<th>Year-to-date FY '12 Totals</th>
<th>YTD Period % Change FY12/FY13</th>
<th>Year End FY '12 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture and Life Sciences</td>
<td>$12,026,302</td>
<td>$1,777,539</td>
<td>$14,363,711</td>
<td>$6,263</td>
<td>$384,998</td>
<td>$28,558,813</td>
<td>$25,302,649</td>
<td>13%</td>
<td>$25,302,649</td>
</tr>
<tr>
<td>College of Design</td>
<td>$457,764</td>
<td>$121,486</td>
<td>$619,480</td>
<td>$0</td>
<td>$3,218</td>
<td>$1,201,948</td>
<td>$698,606</td>
<td>72%</td>
<td>$698,606</td>
</tr>
<tr>
<td>College of Education</td>
<td>$463,255</td>
<td>$64,873</td>
<td>$108,059</td>
<td>$0</td>
<td>$1,999</td>
<td>$638,186</td>
<td>$1,052,862</td>
<td>-39%</td>
<td>$1,052,862</td>
</tr>
<tr>
<td>College of Engineering</td>
<td>$6,605,314</td>
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<td>$650</td>
<td>$203,759</td>
<td>$17,482,577</td>
<td>$11,584,896</td>
<td>51%</td>
<td>$11,584,896</td>
</tr>
<tr>
<td>College of Humanities &amp; Social Sciences</td>
<td>$438,357</td>
<td>$178,027</td>
<td>$857,667</td>
<td>$0</td>
<td>$2,100</td>
<td>$1,476,152</td>
<td>$904,249</td>
<td>63%</td>
<td>$904,249</td>
</tr>
<tr>
<td>Poole College of Management</td>
<td>$887,061</td>
<td>$216,524</td>
<td>$1,183,539</td>
<td>$0</td>
<td>$0</td>
<td>$2,287,123</td>
<td>$2,106,767</td>
<td>9%</td>
<td>$2,106,767</td>
</tr>
<tr>
<td>College of Natural Resources</td>
<td>$957,092</td>
<td>$238,563</td>
<td>$7,823,665</td>
<td>$0</td>
<td>$12,705</td>
<td>$9,032,025</td>
<td>$2,488,007</td>
<td>263%</td>
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<td>Corporations</td>
<td>Foundations</td>
<td>Other Organizations</td>
<td>Year-to-date FY '13 Totals</td>
<td>Year-to-date FY '12 Totals</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>---------</td>
<td>---------</td>
<td>---------------</td>
<td>-------------------</td>
<td>--------------</td>
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<td>$1,336,580</td>
<td>$5,255,043</td>
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<td>$20,662,403</td>
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<td>$24,235</td>
<td>$84,523</td>
<td>$150,504</td>
<td>$362,846</td>
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<td>$10,057</td>
<td>$549,042</td>
<td>$436,779</td>
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<td>$1,117,621</td>
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<td>$335,717</td>
<td>$5,255</td>
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<td>$779,462</td>
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<td>$800</td>
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<tr>
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<td>$100,323,833</td>
</tr>
</tbody>
</table>
### NC State University

**Gift Receipts by Gift Type**

(Includes Gift Receipts and Pledge Payments)

**July 1, 2012 to June 30, 2013**

<table>
<thead>
<tr>
<th>College</th>
<th>Cash Gifts</th>
<th>Gifts-In-Kind</th>
<th>Matching Gifts</th>
<th>PG Life Income</th>
<th>Realized Bequests</th>
<th>Year-to-date FY ’13 Totals</th>
<th>Year-to-date FY ’12 Totals</th>
<th>YTD Period % Change FY12/FY13</th>
<th>YR End FY ’12 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture and Life Sciences</td>
<td>$18,855,185</td>
<td>$384,998</td>
<td>$73,476</td>
<td>$10,101</td>
<td>$205,363</td>
<td>$19,529,122</td>
<td>$20,662,403</td>
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<tr>
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</tr>
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<td>$642,344</td>
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</tr>
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<td>$1,110,000</td>
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<td>$1,805,901</td>
<td>65%</td>
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</tr>
<tr>
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<td>$0</td>
<td>$3,562,754</td>
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</tr>
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<td>-12%</td>
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<tr>
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<td><strong>$100,323,833</strong></td>
<td><strong>27%</strong></td>
<td><strong>$100,323,833</strong></td>
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<td>Current Operations Unrestricted</td>
<td>Endowment Restricted</td>
<td>Endowment Unrestricted</td>
<td>Facilities</td>
<td>Year-to-date FY '13 Totals</td>
<td>Year-to-date FY '12 Totals</td>
<td>YTD Period % Change FY12/FY13</td>
<td>Year End FY '12 Totals</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>------------------------------</td>
<td>---------------------------------</td>
<td>----------------------</td>
<td>------------------------</td>
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<tr>
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<tr>
<td>College of Veterinary Medicine</td>
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<td>$188,960</td>
<td>$252,777</td>
<td>$2,050,122</td>
<td>$70,204</td>
<td>$7,368,409</td>
<td>$5,369,738</td>
<td>37%</td>
<td>$5,369,738</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$143,246</td>
<td>$16,907</td>
<td>$245,396</td>
<td>$0</td>
<td>$332,905</td>
<td>$738,454</td>
<td>$886,308</td>
<td>-17%</td>
<td>$886,308</td>
</tr>
<tr>
<td>ARTS NC State</td>
<td>$190,499</td>
<td>$87,663</td>
<td>$138,223</td>
<td>$15,000</td>
<td>$633,179</td>
<td>$1,064,564</td>
<td>$824,158</td>
<td>29%</td>
<td>$824,158</td>
</tr>
<tr>
<td>Libraries</td>
<td>$953,663</td>
<td>$2,850</td>
<td>$187,658</td>
<td>$0</td>
<td>$2,418,583</td>
<td>$3,562,754</td>
<td>$779,462</td>
<td>357%</td>
<td>$779,462</td>
</tr>
<tr>
<td>University-wide</td>
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<td>$60,477,193</td>
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</tr>
<tr>
<td>Wolfpack Club/Athletics</td>
<td>$10,717,198</td>
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<td>$0</td>
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<td>$127,577,165</td>
<td>$100,323,833</td>
<td>27%</td>
<td>$100,323,833</td>
</tr>
</tbody>
</table>
## FY13 YTD Monthly Progress and College Comparison Report

### As of June 30, 2013

<table>
<thead>
<tr>
<th>Overall Performance</th>
<th>Alumni Dollars with Matching</th>
<th>Total Dollars with Matching</th>
<th>Alumni Donors</th>
<th>Total Donors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY13</td>
<td>FY12</td>
<td>Chng</td>
<td>% Chng</td>
</tr>
<tr>
<td>YTD Total</td>
<td>$1,594,689</td>
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<td>$44,096</td>
<td>2.84%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Overall Performance</th>
<th>Alumni Dollars without Matching</th>
<th>Total Dollars without Matching</th>
<th>Alumni Donors</th>
<th>Total Donors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY13</td>
<td>FY12</td>
<td>Chng</td>
<td>% Chng</td>
</tr>
<tr>
<td>$1,000+ household donors (Primary donors only); no matching</td>
<td>$399,464</td>
<td>$334,609</td>
<td>$64,854</td>
<td>19.38%</td>
</tr>
</tbody>
</table>

### Progress to Goals

<table>
<thead>
<tr>
<th></th>
<th>FY13 Goals</th>
<th>Needed to Meet Goals</th>
<th>FY13 % To Goal</th>
<th>FY12 Rpt Date to 6/30/12</th>
<th>Final</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Dollars</td>
<td>$2,000,000</td>
<td>$31,128</td>
<td>98.44%</td>
<td>$0</td>
<td>$1,968,872</td>
</tr>
<tr>
<td><em>(FY12 = $1,863,991)</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Donors</td>
<td>16,000</td>
<td>178</td>
<td>98.89%</td>
<td>0</td>
<td>15,822</td>
</tr>
<tr>
<td><em>(FY12 = 16,397)</em></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Average Gift

<table>
<thead>
<tr>
<th></th>
<th>FY13</th>
<th>FY12</th>
<th>Chng</th>
<th>% Chng</th>
</tr>
</thead>
<tbody>
<tr>
<td>By Gift</td>
<td>$95</td>
<td>$87</td>
<td>$8</td>
<td>9.16%</td>
</tr>
<tr>
<td>By Donor</td>
<td>$116</td>
<td>$106</td>
<td>$10</td>
<td>9.43%</td>
</tr>
</tbody>
</table>

### Corporate Matching Gifts

<table>
<thead>
<tr>
<th>Corporate Match Dollars</th>
<th>Number Corporate Match Gifts</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY13</td>
<td>FY12</td>
</tr>
<tr>
<td>Corporate Match Dollars</td>
<td>Chng</td>
</tr>
<tr>
<td>% Chng</td>
<td>FY13</td>
</tr>
<tr>
<td>FY12</td>
<td>Chng</td>
</tr>
<tr>
<td>% Chng</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Corporate Match Dollars</th>
<th>Number Corporate Match Gifts</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY13</td>
<td>FY12</td>
</tr>
<tr>
<td>Corporate Match Dollars</td>
<td>Chng</td>
</tr>
<tr>
<td>% Chng</td>
<td>FY13</td>
</tr>
<tr>
<td>FY12</td>
<td>Chng</td>
</tr>
<tr>
<td>% Chng</td>
<td></td>
</tr>
</tbody>
</table>

*From FY12 Final Reports*
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY
AGENDA

University Affairs Committee
2:45 p.m. – 4:15 p.m.  September 19, 2013
Winslow Hall Conference Room

Susan Ward, Chair
Members:  Tom Cabaniss, Barbara Mulkey, Jim Owens, Alex Parker and Ron Prestage

CALL TO ORDER
Susan Ward, Committee Chair

ROLL CALL

READING OF STATE GOVERNMENT ETHICS ACT CONFLICT OF INTEREST STATEMENT

1. AGENDA
   A. Approval of July 10, 2013 University Affairs Committee Minutes

2. DISCUSSION ITEMS
   A. Review of Committee Responsibilities
      Presenter:  Warwick A. Arden, Provost and Executive Vice Chancellor
      Overview of University Affairs Committee responsibilities as outlined in Board of Trustees Bylaws, Policy 01.05.01.
   B. Review 2013-2014 Committee Plan of Work
      Presenters: Susan P. Ward, University Affairs Committee Chair and Warwick A. Arden, Provost and Executive Vice Chancellor
   C. Fall 2013 Enrollment Report
      Presenter: Louis D. Hunt, University Registrar and Vice Provost, Enrollment Management & Services
   D. Annual Report on Intercollegiate Athletics
      Presenter: Carrie Leger, Director of Academic Support Program for Student-Athletes/Associate AD for Academics
      The 2013 Intercollegiate Athletics Report is a UNC General Administration report that responds to scholarship student-athlete reports published by the NCAA, provides additional academic information for all recruited student athletes, and information on university processes for monitoring academic performance of student-athletes.

3. REQUESTED ACTION
   A. Revisions to Code of Student Conduct (POL 11.35.01)
      Presenter: Michael D. Mullen, Vice Chancellor and Dean, Academic & Student Affairs
      Rationale: Due to passage of the State’s Regulatory Reform Act and Congressional changes to the Violence Against Women Act, revisions are being made to the Code of Student Conduct.
B. Revisions to Equal Opportunity and Non-Discrimination Policy (POL 04.25.05)

Presenters: Warwick A. Arden, Provost and Executive Vice Chancellor and Joanne G. Woodard, Vice Provost for Institutional Equity & Diversity

Rationale: Policy has not been revised since 2009. Revisions and updates made based on recent changes to state and federal law as well as regulatory guidance.

C. Revisions to Interpersonal Relationships Policy (POL 04.20.06)

Presenters: Warwick A. Arden, Provost and Executive Vice Chancellor and Joanne G. Woodard, Vice Provost for Institutional Equity & Diversity

Rationale: Policy has not been revised since 2007. Revisions and updates made to refresh policy and to bring it into alignment with current practices on campus.

D. Revisions to Appointment, Reappointment, Promotion and Permanent Tenure Policy (POL 05.20.01)

Presenter: Warwick A. Arden, Provost and Executive Vice Chancellor

Rationale: To document our compliance with Southern Association of Colleges and Schools (SACS) accreditation guidelines for faculty credentials teaching.

E. Request for Change in degree title for B.S. in Wood Products (New Title: B.S. in Sustainable Materials and Technology)

Presenter: Duane Larick, Sr. Vice Provost for Academic Strategy & Resource Management

F. Request for Authorization to Plan a New Degree Program: Professional Doctorate in Design

Presenter: Duane Larick, Sr. Vice Provost for Academic Strategy & Resource Management

4. INFORMATIONAL REPORTS

A. December, 2013 Commencement Speaker (no materials)

Presenter: Chancellor W. Randolph Woodson

B. Student Body President Report

Presenter: Alexander J. Parker, Student Body President

C. Provost Update

Presenter: Warwick A. Arden, Provost and Executive Vice Chancellor

- Graduate Certificate in Nano-Systems Engineering
- Dual Degree: BS in Business Administration (from NC State) and Bachelor of Management & Business Administration (from Skema Business School)
- 2013-2014 Faculty Salary Ranges
- Leadership positions
- SACS reaffirmation
- Chancellor's Faculty Excellence Program
- University Faculty Scholars Program
5. **PERSONNEL MATTERS**
   Executive Summary of All Personnel Actions Requiring Approval

A. To establish or to instruct the staff or agent concerning the amount of compensation and other material terms of an employment contract or proposed employment contract.

B. To consider the qualifications, competence, performance, character, fitness, conditions of appointment, or conditions of initial employment of an individual public officer or employee or prospective public officer or employee.

6. **ADJOURN**
   * Discussed in Closed Session
   ✓ Requires Full Board Approval
The University Affairs Committee of the Board of Trustees of North Carolina State University met July 10, 2013 at 3:30 p.m. in the Tab Williams Reception Room, Dorothy and Roy Park Alumni Center, Centennial Campus.

Members Present: Susan Ward, Committee Chair
Ben Jenkins
Bob Mattocks
Jim Owens
Barbara Mulkey, Board Chair

Other Trustees Present: Jimmy Clark
Gayle Lanier

Others Present: Randy Woodson
Warwick Arden
Betsy Brown
Eileen Goldgeier
Amy Jinnette
Sarah Lannom
Duane Larick
Mike Mullen
Rebeca Rufty
Dan Solomon

Chair Ward called the meeting to order. A quorum was present.

She reminded all members of their duty to avoid conflicts of interest and appearances of conflicts of interest under the State Government Ethics Act and inquired as to whether there were any known conflicts of interest or appearances of conflict with respect to any matters coming before the University Affairs Committee at this meeting. Hearing none, Chair Ward proceeded with the Committee agenda.

A motion was made by Mr. Mattocks and seconded by Mr. Owens to approve minutes from the open and closed sessions of the April 18, 2013 meeting as distributed. The motion carried.

As part of the Provost’s Update, Senior Vice Provost Duane Larick notified the committee of graduate certificates being proposed for the 2013-2014 academic year in Nanobiotechnology; Upstream Biomanufacturing; Downstream Biomanufacturing; and Professional Communication and Managerial Skills. In response to a question about the review process for certificates, Dr. Larick explained that certificate programs are reviewed in terms of enrollment numbers and completion rates and are condensed and eliminated as needed. He referenced the university’s Task Force on Review of Academic Programs which was appointed by the Provost and charged with strengthening NC State’s academic programs overall by improving their vitality, effectiveness and efficiency. Trustee Jenkins asked if the Trustees could receive an update on the academic program efficiency and effectiveness information. Provost Arden responded that this information could be presented at a future meeting. He further noted that each college has developed a strategic plan to align college-level goals and strategies with overarching University goals and strategies. He noted that, for example, through its
strategic planning effort, the College of Education is considering consolidating some of its graduate programs.

Provost Arden provided an update on two major strategic initiatives that are underway. The Chancellor’s Faculty Excellence Program, which will ultimately hire 38 new faculty in 12 interdisciplinary cluster areas, has had a successful first year. To date there have been 23 acceptances and 1 offer is pending. All of the clusters have hired at least one faculty member. The hiring of the remaining faculty will continue in the 2013-2014 academic year, and all positions should be filled by Fall 2014. The College of Sciences was officially launched on July 1. The new college, which combines the programs of the College of Physical and Mathematical Sciences with several of the biological sciences programs from the College of Agriculture and Life Sciences (CALS), will offer interdisciplinary educational and research opportunities for students and faculty. The new college is comprised of 4,000 students; 575 faculty, staff and postdoctoral researchers; and six departments (Chemistry; Marine, Earth and Atmospheric Sciences; Mathematics; Physics; a Statistics department shared with the College of Agriculture and Life Sciences; and a new department of Biological Sciences). As a result of the formation of the College of Sciences and the subsequent realignment of faculty between the Colleges of Agriculture and Life Sciences and Sciences, the CALS Departments of Biology, Genetics, Microbiology and Toxicology were eliminated, the Department of Applied Ecology was created and the Department of Plant Biology was renamed the Department of Plant and Microbial Biology, all effective July 1, 2013. Provost Arden thanked Dr. Larick and Deans Solomon and Linton for their efforts in successfully implementing this strategic initiative.

A motion was made by Ms. Ward to go into closed session to consider the qualifications, competence, performance, condition of appointment of a public officer or employee or prospective public officer or employee according to North Carolina General Statute, Section 143-318.11(a)(6) and to establish or instruct the staff or agent concerning the negotiations of the amount of compensation or other terms of an employment contract according to North Carolina General Statute, Section 143-318.11(a)(5). Mr. Jenkins seconded the motion. The motion carried.

After coming out of closed session, Ms. Ward announced the meeting in open session.

Mr. Owens made a motion, seconded by Mr. Jenkins, to approve the personnel actions discussed in Closed Session related to conferral of tenure to 7 new faculty members and appointments to distinguished professorships supported by the Distinguished Professorship Endowment Trust Fund. The motion carried.

With no further business, Chair Ward announced the meeting adjourned at 4:17 p.m.

Susan P. Ward, Chair
Board of Trustees - University Affairs Committee

Delegated Authority and Assignments
Based on Board of Trustees Bylaws - POL 01.05.01, Appendix 1, Section V

EPA Personnel

Non-salary compensation (ex. temporary housing expenses, club memberships)

Salary issues
- Establish salary ranges, based on available relevant market data, for deans and other senior academic and administrative officers that are not established by UNC General Administration.
- Recommend EPA salary increases for Board of Governor’s approval that exceed established salary range or result in a salary that is at least 15% and at least $10,000 above previous June 30th salary

Administrative separation and retreat rights

Conferral of permanent tenure
- New faculty hires (usually tenured at a previous institution)
- Faculty candidates reviewed through annual reappointment, promotion, and tenure process

Designation of particular Distinguished Professorships as time limited

Conferral of Emeritus status to SAAO Tier I employees

Appoint or extend the contract of the Athletic Director and Head Coaches

Employee Appeals

Hear appeals of discharged or suspended employees

Hear and render a decision on appeals from the disposition of grievances

Academic Programs

Review and recommend academic degree proposals to Board of Trustees

Receive notification of other academic program proposals (ex. certificates, concentrations, and minors)

Student Affairs

Review and recommend campus initiated tuition increases and student fees

Honorary Degrees, Awards and Distinctions

Honorary Degrees and Holladay Medals
- Receive and review nominations
- Recommend nominees to Board of Trustees for approval

Provide advice in Chancellor’s selection of a commencement speaker
Planning

Review and recommend changes in the university’s mission statement
Advise chancellor on development of plans to carry out the university’s mission
Review and approve establishment and continuation of Centers and Institutes

Policy Development

Recommend policies to Board of Trustees for approval related to:
- Personnel
- Collection of tuition, fees and other monies from students
- Acceptance of cash obligations in lieu of cash from students in payment of tuition and fees
- Administration of scholarships and other financial aid to students
- Provision of student services activities, including government and intercollegiate athletics
- Centers and Institutes

Reports

Hear reports from the Chair of the Faculty, Chair of Staff Senate, and Student Body President

Hear other reports
- Faculty retention
- Athletic Academic Progress Rates
- Graduation statistics
- Residency for full scholarship undergraduate students
- Students requiring special consideration
NC STATE BOARD OF TRUSTEES
UNIVERSITY AFFAIRS COMMITTEE
2013-2014 PLAN OF WORK

September
- Centers and Institutes Requests (UNC Pol. 400.5 (R) (NC State Pol 01.05.01 App. 1, V.f.iii) (as needed)
  Review and approve the establishment and continuation of Centers and Institutes.
- Commencement Speaker – December (NC State Pol 01.05.01 App. 1, V.e.ii)
  Provide advice in Chancellor’s selection of Commencement Speaker.
- Degree Programs (new)- Intent to Plan/Authorization to Establish (as needed) (NC State Pol. 01.05.01, App.1, V.c.i.)
  Review and recommend approval to the BOT.
- Fall Enrollment Report / Progress Toward Enrollment Planning (NC State Pol 01.05.1, App 1, V.f.ii)
  Receive report and comment as warranted.
- Honorary Degree Recommendations (UNC Pol. Ch. 100.1, Appendix 1 (IV) (NC State Pol 01.05.01, App.1, V.e.i)
  Receive and review nominations as needed. Recommend nominees for approval to the BOT.
- Intercollegiate Athletics Annual Report (UNC Pol. 1100.1)
  Receive report and comment as warranted.
- Personnel Requests (NC State Pol 01.05.01, App 1.V.a.i.ii.iii.iv.vi.vii.viii.ix.i.ii)) (as needed)
  Approve or recommend approval to the BOG.
- Review Committee Responsibilities (Annually)
  Understand committee’s delegated authority and assignments and develop plan of work for the year.
- Student Body President Report (NC State Pol 01.05.01 App.1, V.h.i.)
  Receive report and comment as warranted.

November
- Campus Initiated Tuition Increase and Student Fees (UNC Pol. 100.11, II, 3.A.iii) (NC State Pol. 01.05.01, App. 1, V.d.i)
  Review and recommend approval to the BOT.
- Centers and Institutes Requests (UNC Pol. 400.5 (R) (NC State Pol 01.05.1 App. 1, V.f.iii) (as needed)
  Review and approve the establishment and continuation of Centers and Institutes.
- Degree Programs (new)- Intent to Plan/Authorization to Establish (as needed) (NC State Pol. 01.05.01, App.1, V.c.i)
  Review and recommend approval to the BOT.
NC STATE BOARD OF TRUSTEES  
UNIVERSITY AFFAIRS COMMITTEE  
2013-2014 PLAN OF WORK

- Faculty Retention Report  
  *Receive report and comment as warranted.*
- Faculty Senate Report (NC State Pol 01.05.01 App.1, V.h.i.)  
  *Receive report and comment as warranted.*
- Honorary Degree Recommendations (UNC Pol. Ch. 100.1, Appendix 1 (IV) (NC State Pol 01.05.01, App.1, V.e.i)  
  *Receive and review nominations as needed. Recommend nominees for approval to the BOT.*
- Management Flexibility Annual Report (UNC policy 600.3.4)  
  *Receive and review report prior to submission to UNC-GA.*
- Personnel Requests (NC State Pol 01.05.1, App 1.V.a.i.i.iii.iv.v.vi.vii.viii.ix.b.i.iii)) (as needed)  
  *Approve or recommend approval to the BOG.*
- Staff Senate Report (NC State Pol 01.05.01 App.1, V.h.i.)  
  *Receive report and comment as warranted.*

February

- Academic Progress Rate for Student Athletes  
  *Receive report and comment as warranted.*
- Centers and Institutes Overview (Informational report provided every 2 years.)  
  *Receive report and comment as warranted.*
- Centers and Institutes Requests (UNC Pol. 400.5 (R) (NC State Pol 01.05.01 App.1, V.f.iii)) (as needed)  
  *Review and approve the establishment and continuation of Centers and Institutes.*
- Commencement Speaker – May (NC State Pol 01.05.01 App.1, v.e.ii)  
  *Provide advice in Chancellor’s selection of Commencement Speaker.*
- Degree Programs (new)- Intent to Plan/Authorization to Establish (as needed) (NC State Pol. 01.05.01, App.1, v.c.i)  
  *Review and recommend approval to the BOT.*
- Fall Graduation Report  
  *Receive report and comment as warranted.*
- Holladay Medal Recommendations (NC State Pol 01.05.01, App.1, V.e.i)  
  *Receive and review nominations. Recommend nominees for approval to the BOT.*
NC STATE BOARD OF TRUSTEES
UNIVERSITY AFFAIRS COMMITTEE
2013-2014 PLAN OF WORK

• Honorary Degree Recommendations (UNC Pol. Ch. 100.1, Appendix 1 (IV) (NC State Pol 01.05.01, App.1, V.e.i) Receive and review nominations as needed. Recommend nominees for approval to the BOT.
• Personnel Requests (NC State Pol 01.05.1, App 1.V.a.i.ii.iii.iv.v.vi.vii.viii.ix.b.i.ii) (as needed) Approve or recommend approval to the BOG.
• Reappointment, Promotion and Tenure Process Receive report and comment as warranted.
• Student Body President Report (NC State Pol 01.05.01 App.1, V.h.i.) Receive report and comment as warranted.

April

• Centers and Institutes Requests (UNC Pol. 400.5 (R) (NC State Pol 01.05.1 App. 1, V.f.iii) (as needed) Review and approve the establishment and continuation of Centers and Institutes.
• Faculty Senate (NC State Pol 01.05.01 App.1, V.h.i.) Receive report and comment as warranted.
• Degree Programs (new)- Intent to Plan/Authorization to Establish (as needed) (NC State Pol. 01.05.1, APP1, v.c.i) Review and recommend approval to the BOT.
• Honorary Degree Recommendations (UNC Pol. Ch. 100.1, Appendix 1 (IV) (NC State Pol 01.05.01, App.1, V.e.i) Receive and review nominations as needed. Recommend nominees for approval to the BOT.
• Nepotism Report (UNC Pol. 300.4.2) Receive annual report on university’s compliance with UNC Policy 300.4.2.
• Personnel Requests (NC State Pol 01.05.1, App 1.V.a.i.ii.iii.iv.v.vi.vii.viii.ix.b.i.ii) (as needed) Approval or recommend approval to the BOG.
• Residency for Full Scholarship Undergraduate Students (§ 116-143.6) (NC State Reg 02.70.03) Receive report and comment as warranted.
• Staff Senate Report (NC State Pol 01.05.01 App.1, V.h.i.) Receive report and comment as warranted.
• Students Requiring Special Consideration (NC State Reg 02.10.04) Receive report and comment as warranted.
Salary Ranges for Senior Academic and Administrative Officers (SAAO) (NC State Pol 01.05.01, App. 1, V.a.iii)
Review and approved recommended ranges.

Special Meetings (called as needed)
- There may be items that need the committee's approval in between the regularly scheduled meetings. In these cases, a special meeting of the committee would be held.

Additional Topics for Discussion
- Academic Program Efficiency & Effectiveness Task Force update
- Topics associated with implementation of the strategic plan
- Updates from the Provost

Desired Outcomes
- To comply with delegated authority and assignments as prescribed by N.C. General Statutes, UNC Board of Governors Policies and NC State University Policies.
- To keep the Board fully informed of major issues and policies associated with the governance of the university.
- To solicit the Board’s input on policy, strategy and goal-setting for the university.
Fall 2013 Enrollment

Louis Hunt
Vice Provost and University Registrar
Enrollment Management and Services
The Applicants

NC State University received more than 21,000 undergraduate applications for the fall semester. Applications were received from every county in North Carolina, all 50 states and 94 countries. With over 3,000 different high schools represented in the applicant pool, NC State University continues to attract students not only from North Carolina, but internationally as well.

Top 5 Countries Outside the U.S.

546 People’s Republic of China
115 India
65 Saudi Arabia
57 South Korea
46 Mexico

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
Top 10 States Outside of North Carolina by Applications

<table>
<thead>
<tr>
<th>State</th>
<th>Number</th>
<th>State</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Virginia</td>
<td>858</td>
<td>Florida</td>
<td>431</td>
</tr>
<tr>
<td>Maryland</td>
<td>689</td>
<td>South Carolina</td>
<td>315</td>
</tr>
<tr>
<td>New Jersey</td>
<td>531</td>
<td>Georgia</td>
<td>254</td>
</tr>
<tr>
<td>New York</td>
<td>450</td>
<td>Massachusetts</td>
<td>228</td>
</tr>
<tr>
<td>Pennsylvania</td>
<td>444</td>
<td>Connecticut</td>
<td>177</td>
</tr>
</tbody>
</table>

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
### Top Counties in North Carolina by Applications

<table>
<thead>
<tr>
<th>County</th>
<th>Applications</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wake</td>
<td>3,201</td>
</tr>
<tr>
<td>Mecklenburg</td>
<td>1,591</td>
</tr>
<tr>
<td>Guilford</td>
<td>959</td>
</tr>
<tr>
<td>Forsyth</td>
<td>557</td>
</tr>
<tr>
<td>Union</td>
<td>517</td>
</tr>
<tr>
<td>New Hanover</td>
<td>414</td>
</tr>
<tr>
<td>Durham</td>
<td>376</td>
</tr>
<tr>
<td>Cumberland</td>
<td>368</td>
</tr>
<tr>
<td>Cabarrus</td>
<td>341</td>
</tr>
<tr>
<td>Orange</td>
<td>294</td>
</tr>
</tbody>
</table>

*UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)*
Fall 2013 Freshman Class

- **211** Valedictorians and Salutatorians
- **4.43** Weighted High School GPA
- **46** Perfect Score on the SAT (Math)
- **20** Perfect Score on the SAT (Critical Reading)
- **3** Perfect Score on ACT
- **600** Children of Alumni
- **159** International students

46% Females
54% Males

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
### Fall 2013 Freshman Class

**Top 10 Majors of Incoming Enrolled Students**

<table>
<thead>
<tr>
<th>Major</th>
<th>Count</th>
<th>Major</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engineering</td>
<td>1,199</td>
<td>Political Science</td>
<td>74</td>
</tr>
<tr>
<td>First Year College</td>
<td>812</td>
<td>Fashion &amp; Textile</td>
<td>69</td>
</tr>
<tr>
<td>Management</td>
<td>362</td>
<td>Management</td>
<td></td>
</tr>
<tr>
<td>Biological Sciences</td>
<td>240</td>
<td>Communication</td>
<td>60</td>
</tr>
<tr>
<td>Animal Science</td>
<td>143</td>
<td>Zoology</td>
<td>57</td>
</tr>
<tr>
<td>Psychology</td>
<td>99</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
Academic Achievement of Enrolling Students

NC State's freshman class is the highest achieving class in our history. With an overwhelming majority (78%) of our incoming students ranked in the top 20% of their class, there is no question that these 4,216 freshmen are highly prepared for life at NC State. The freshman class represents 98 of North Carolina's 100 counties, 40 of the 50 states and 32 countries.

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
## Middle 50% Ranges of High School Academics

<table>
<thead>
<tr>
<th></th>
<th>Fall 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weighted GPA</td>
<td>Mid 50% Range: 4.22 - 4.67</td>
</tr>
<tr>
<td>Unweighted GPA</td>
<td>Average: 4.43</td>
</tr>
<tr>
<td>Rank in Class</td>
<td>Top 5% to Top 19%: 13%</td>
</tr>
<tr>
<td>SAT Critical Reading and Math</td>
<td>1180 - 1310: 1244</td>
</tr>
<tr>
<td>SAT Critical Reading, Math and Writing</td>
<td>1730 - 1920: 1828</td>
</tr>
<tr>
<td>ACT Composite</td>
<td>26 - 30: 28</td>
</tr>
</tbody>
</table>

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
Dual Enrollment

High school students lead busy lives inside and outside of the classroom, yet many students find the time to enroll at local community colleges and universities while still enrolled in high school. For 2013, 605 incoming freshmen indicated that they took college courses during high school. On average they took 22.7 college credit hours.

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
## Advanced Placement Exams

As Advanced Placement (AP) courses become more evenly distributed amongst the high schools nationwide, NC State continues to see an increase in the number of AP exam scores submitted each year.

14,350 scores submitted.

72% (3,050) of first year students that intend to enroll submitted AP scores with an average of 4.7 AP exams per student.

2,971 AP scores of 5 were submitted.

### Total Number of AP Scores Submitted (as of August 15)

<table>
<thead>
<tr>
<th>Exam with over 100 scores</th>
<th>Fall 2013</th>
<th>Fall 2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biology</td>
<td>740</td>
<td>690</td>
</tr>
<tr>
<td>Calculus AB</td>
<td>1175</td>
<td>1170</td>
</tr>
<tr>
<td>Calculus AB Sub-Score</td>
<td>837</td>
<td>762</td>
</tr>
<tr>
<td>Calculus BC</td>
<td>838</td>
<td>764</td>
</tr>
<tr>
<td>Chemistry</td>
<td>582</td>
<td>543</td>
</tr>
<tr>
<td>Computer Science A</td>
<td>109</td>
<td>80</td>
</tr>
<tr>
<td>Economics: Macroeconomics</td>
<td>123</td>
<td>89</td>
</tr>
<tr>
<td>English Language and Comp</td>
<td>1380</td>
<td>1244</td>
</tr>
<tr>
<td>English Literature and Comp</td>
<td>1049</td>
<td>1022</td>
</tr>
<tr>
<td>Environmental Science</td>
<td>1068</td>
<td>1062</td>
</tr>
<tr>
<td>European History</td>
<td>307</td>
<td>289</td>
</tr>
<tr>
<td>Government &amp; Politics: USA</td>
<td>705</td>
<td>653</td>
</tr>
<tr>
<td>Human Geography</td>
<td>292</td>
<td>249</td>
</tr>
<tr>
<td>Physics B</td>
<td>418</td>
<td>316</td>
</tr>
<tr>
<td>Physics C - Mechanics</td>
<td>113</td>
<td>128</td>
</tr>
<tr>
<td>Psychology</td>
<td>1066</td>
<td>927</td>
</tr>
<tr>
<td>Spanish Language</td>
<td>113</td>
<td>117</td>
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<tr>
<td>Statistics</td>
<td>1016</td>
<td>1384</td>
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<tr>
<td>United States History</td>
<td>1466</td>
<td>1384</td>
</tr>
<tr>
<td>World History</td>
<td>394</td>
<td>364</td>
</tr>
</tbody>
</table>

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 2, 2013)
New Freshmen Applications

- **Bar Graph**
  - **X-axis**: Year (2003-2013)
  - **Y-axis**: Total Applications (0-25,000)
  - **Legend**:
    - Applied
    - Percent Accepted

- **Graph Details**:
  - 2003: 12,852
  - 2004: 13,619
  - 2005: 15,500
  - 2006: 15,500
  - 2007: 16,437
  - 2008: 17,661
  - 2009: 18,502
  - 2010: 19,147
  - 2011: 19,637
  - 2012: 20,298
  - 2013*: 21,841

- **Percent Accepted Line Graph**
  - Trend from 2003 to 2013*

**Notes**:
- UPA Report: Current Admissions Status Report, Fall 2013 (as of August 16th, 2013)
- UPA Freshman Profile, 10-year Trend, Fall Semester First-Time-In-College Bachelor's Degree Students

*Projected data.
New Freshmen Enrollment – Total SAT compared to NFR Cohort Size

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 16th, 2013)
UPA Freshman Profile, 10-year Trend, Fall Semester First-Time-In-College Bachelor’s Degree Students
10 Year Trend, SAT – Highest Scores vs. All Scores Submitted

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 18th, 2013)
UPA Freshman Profile, 10-year Trend, Fall Semester First-Time-In-College Bachelor’s Degree Students
Five Year Change in SAT Profile

- Fall 2008
- Fall 2012

<table>
<thead>
<tr>
<th>SAT Score Range</th>
<th>Fall 2008</th>
<th>Fall 2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000 and below</td>
<td>9%</td>
<td>8%</td>
</tr>
<tr>
<td>1010 to 1100</td>
<td>18%</td>
<td>10%</td>
</tr>
<tr>
<td>1110 to 1190</td>
<td>28%</td>
<td>27%</td>
</tr>
<tr>
<td>1200 to 1290</td>
<td>27%</td>
<td>33%</td>
</tr>
<tr>
<td>1300 to 1390</td>
<td>13%</td>
<td>18%</td>
</tr>
<tr>
<td>1400 and above</td>
<td>5%</td>
<td>9%</td>
</tr>
</tbody>
</table>
Fall 2008 to 2013, Total SAT and HS GPA
Total University Enrollment

UPA Report T1: All Students, New Students, Undergraduate and Graduate Students by College

*Fall Semester 2013, Enrollment on Day 1 of classes, Run date = August 22, 2013
Total New Student Enrollment

- New Freshmen
- New Graduate
- New Transfer

UPA Report T1: All Students, New Students, Undergraduate and Graduate Students by College
UPA REPORT: Fall Semester 2013, Enrollment on Day = 2 of classes
New Undergraduate Enrollment

Percentage of Out of State/International

UPA Report T2: Enrollment by Residence
UPA Report: Current Admissions Status Report, Fall 2013 (as of August 16th, 2013)
Doctoral Degree Applications

Total Applied  Percent Accepted

<table>
<thead>
<tr>
<th>Year</th>
<th>Total Applied</th>
<th>Percent Accepted</th>
</tr>
</thead>
<tbody>
<tr>
<td>2005</td>
<td>2,950</td>
<td></td>
</tr>
<tr>
<td>2006</td>
<td>3,055</td>
<td></td>
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<tr>
<td>2007</td>
<td>3,473</td>
<td></td>
</tr>
<tr>
<td>2008</td>
<td>3,383</td>
<td></td>
</tr>
<tr>
<td>2009</td>
<td>4,005</td>
<td></td>
</tr>
<tr>
<td>2010</td>
<td>4,329</td>
<td></td>
</tr>
<tr>
<td>2011</td>
<td>4,471</td>
<td></td>
</tr>
<tr>
<td>2012</td>
<td>4,456</td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td>4,070</td>
<td></td>
</tr>
</tbody>
</table>

UPA Report: Current Admissions Status Report, Fall 2013 (as of August 16th, 2013)
Total Graduate Enrollment

<table>
<thead>
<tr>
<th>Year</th>
<th>Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>2008</td>
<td>8,131</td>
</tr>
<tr>
<td>2009</td>
<td>8,564</td>
</tr>
<tr>
<td>2010</td>
<td>9,130</td>
</tr>
<tr>
<td>2011</td>
<td>9,591</td>
</tr>
<tr>
<td>2012</td>
<td>9,507</td>
</tr>
<tr>
<td>2013*</td>
<td></td>
</tr>
</tbody>
</table>

UPA Report A7: University Totals by Degree Level, Classification, and Status
UPA REPORT: Fall Semester 2013, Enrollment on Day 2 of classes
Questions?
Annual Academic Report on Intercollegiate Athletics

Carrie Leger, Director, Academic Support Program for Student-Athletes (ASPSA)

September 2013
Annual Reporting Requirement – Board of Governors (BOG)

- Policy 1100.1, Intercollegiate Athletics requires that “the chancellors shall submit an annual report to the Board of Trustees of the constituent institution with a copy to the President who will report to the Board of Governors.”

- Academic data on the 2012 cohort was reported to General Administration in September 2013.

- Additional reporting requirements to provide information on compliance with the UNC Task Force on Academics and Athletics’ recommendations will be due in December.
BOG - Data Reporting Requirements

- Minimum Course Requirements Exceptions
- Academic Profiles of Recruited Student-Athletes
- Majors of student-athletes with Junior/Senior Standing
- Academic Progress Rate Information
## Exception to UNC Minimum Course Requirements (MCR)/Minimum Admissions Requirements (MAR)

### All Freshmen and Recruited Freshman Student-Athletes

<table>
<thead>
<tr>
<th>Cohort</th>
<th>Institution</th>
<th>All Freshmen</th>
<th>Recruited Freshman Student-Athletes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Total</td>
<td>MCR / MAR Exceptions</td>
</tr>
<tr>
<td>F12-S13</td>
<td>NC State</td>
<td>4270</td>
<td>11</td>
</tr>
</tbody>
</table>
Profile of Recruited Freshman
Student-Athletes in Revenue Sports

<table>
<thead>
<tr>
<th>Cohort</th>
<th>Institution</th>
<th>Football</th>
<th>Men's Basketball</th>
<th>Women's Basketball</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Average Core HSGPA*</td>
<td>Average SAT/ACT</td>
<td>Average Core HSGPA*</td>
</tr>
<tr>
<td>F12-S13</td>
<td>NC State</td>
<td>3.14</td>
<td>960.5/20.1</td>
<td>3.24</td>
</tr>
</tbody>
</table>
Majors of Student-Athletes
(Junior Academic Standing or higher)

- Top 5 Majors:
  - Parks, Recreation, & Tourism
  - Business
  - Biological Sciences
  - Engineering
  - Social Sciences
Academic Rates
## NC State Federal Graduation Rate Information

<table>
<thead>
<tr>
<th>Cohort</th>
<th>Students</th>
<th>Student-Athletes</th>
</tr>
</thead>
<tbody>
<tr>
<td>2002</td>
<td>71</td>
<td>51</td>
</tr>
<tr>
<td>2003</td>
<td>73</td>
<td>69</td>
</tr>
<tr>
<td>2004</td>
<td>72</td>
<td>54</td>
</tr>
<tr>
<td>2005</td>
<td>72</td>
<td>64</td>
</tr>
<tr>
<td>2006</td>
<td>72</td>
<td>65</td>
</tr>
</tbody>
</table>
# 2003-2006 Graduation Rate Information

<table>
<thead>
<tr>
<th>SPORT</th>
<th>Graduation Success Rate (GSR)</th>
<th>Federal Graduation Rate (FGR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseball</td>
<td>75</td>
<td>34</td>
</tr>
<tr>
<td>M - Basketball</td>
<td>89</td>
<td>64</td>
</tr>
<tr>
<td>M - CC/Track</td>
<td>92</td>
<td>73</td>
</tr>
<tr>
<td>Football</td>
<td>64</td>
<td>57</td>
</tr>
<tr>
<td>M - Golf</td>
<td>100</td>
<td>89</td>
</tr>
<tr>
<td>M - Soccer</td>
<td>91</td>
<td>70</td>
</tr>
<tr>
<td>M - Swimming</td>
<td>89</td>
<td>81</td>
</tr>
<tr>
<td>M - Tennis</td>
<td>63</td>
<td>40</td>
</tr>
<tr>
<td>Wrestling</td>
<td>60</td>
<td>43</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SPORT</th>
<th>Graduation Success Rate (GSR)</th>
<th>Federal Graduation Rate (FGR)</th>
</tr>
</thead>
<tbody>
<tr>
<td>W - Basketball</td>
<td>86</td>
<td>71</td>
</tr>
<tr>
<td>W - CC/Track</td>
<td>93</td>
<td>63</td>
</tr>
<tr>
<td>W - Golf</td>
<td>100</td>
<td>56</td>
</tr>
<tr>
<td>Gymnastics</td>
<td>100</td>
<td>85</td>
</tr>
<tr>
<td>W - Soccer</td>
<td>90</td>
<td>68</td>
</tr>
<tr>
<td>Softball</td>
<td>94</td>
<td>81</td>
</tr>
<tr>
<td>W - Swimming</td>
<td>87</td>
<td>73</td>
</tr>
<tr>
<td>W - Tennis</td>
<td>75</td>
<td>50</td>
</tr>
<tr>
<td>Volleyball</td>
<td>88</td>
<td>45</td>
</tr>
<tr>
<td>Rifle</td>
<td>100</td>
<td>100</td>
</tr>
</tbody>
</table>
Ongoing Improvement Strategies

- Broad-based participation in decisions impacting the academic performance, retention, and graduation of student-athletes.

- Postseason certification policy for competition occurring between terms (e.g. Bowl Games).

- Class Attendance Policy – Implemented Fall ’10.

- Degree Completion Efforts.
QUESTIONS?
PROPOSED REVISION TO: POL 11.35.1, Code of Student Conduct

**Rationale:** The Division of Academic and Student Affairs seeks to revise POL 11.35.1, Code of Student Conduct (“Code”) to reflect recent changes by state and federal legislation including:

--Moving the definitions section to the accompanying Student Discipline Procedures (REG 11.35.02) to permit the university more flexibility in amending these definitions should further legislation, UNC Policy, or University procedures change;

--Updating the definitions of Sexual Misconduct to reflect additional regulations and guidance issued by the Department of Education in response to its Dear Colleague Letter of April 4, 2011 in relation to sexual violence;

--Bringing the Code into compliance with the recent federal Violence Against Women Reauthorization Act of 2013, which requires the university to take certain procedural actions and to prohibit misconduct relating to domestic and dating violence, as well as stalking;

--Bringing the Code into compliance with the North Carolina 2013 Regulatory Reform Act, enacting N.C. Gen. Stat. § 116-40.11, which mandates that student respondents be allowed to be represented by an attorney or other advocate at disciplinary proceedings, not before a student board or panel, when charged with non-academic misconduct. Pursuant to this legislation, UNC Policy 700.4.1 was revised to reflect that the "student disciplinary proceeding" does not begin until a formal charge is brought against a student or student organization by a designated university official. The Code is being revised to reflect these amendments to UNC Policy 700.4.1.

**Consultation Process:**

7/29/13  Vice Chancellor and Dean for Student Affairs authorizes transmittal of PRR for review

7/30/13- General Counsel review

8/30/13

8/06/13- Division of Academic and Student Affairs and Office of Student Conduct review

8/30/13

8/30/13 General Counsel final review

9/06/13  Vice Chancellor and Dean for Student Affairs Review

9/10/13  EOM Review

_______ Board of Trustees approval
Authority: Board of Trustees
Title: Code of Student Conduct
Classification: POL11.35.01
PRR Subject: Student Discipline
Contact Info: Director, Office of Student Conduct (919-515-2963)


Related Policies:
- UNC Policy Manual 500.2 – Patent and Copyright Policies
- UNC Policy Manual 700.4.2 - Policy on Student Conduct
- UNC Policy Manual 1300.1 – Illegal Drugs
- NCSU POL04.20.05 - Illegal Drugs
- NCSU POL04.25.05 - Equal Opportunity and Non-Discrimination Policy Statement
- NCSU REG01.25.02 – Copyright Infringement – Policy Statement
- NCSU REG01.25.03 - Copyright Regulation - Copyright Implementation Pursuant to Copyright Use and Ownership Policy of the University of North Carolina
- NCSU REG04.05.02 - Campus/Workplace Violence Prevention and Management
- NCSU REG08.00.02 – Computer Use Regulation
- NCSU REG11.35.02 - Student Discipline Procedures
- NCSU REG11.35.03 - Graduate Student Discipline Procedures
- NCSU REG11.55.06 - Recognized Student Organizations within the Division of Academic and Student Affairs (DASA): Regulation for Undergraduate Student Leadership
- NCSU REG11.55.07 – Registered Student Organizations: Regulation for Undergraduate Student Leadership, Membership, and Registration

Additional References:
- NC Gen. Stat. § 14-269.2
- NC Gen. Stat. § 143-166.1
- NC Gen. Stat. § 90-86 through § 90-113.8
1. **INTRODUCTION**

All students at North Carolina State University (NC State) are responsible for conducting themselves in a manner that helps enhance an environment of learning in which the rights, dignity, worth, and freedom of each member of the academic community are respected. Violations of campus or University policies, rules or regulations, or federal, state, or local law may result in a violation of the Code of Student Conduct and imposition of sanctions.

This Code of Student Conduct (Code) establishes the expectations for student conduct in the university community. The Code, therefore, proscribes the types of behavior that adversely affects the university community, and the resulting actions that may be taken to both educate students about behavioral expectations and to protect NC State’s community. This Code and its accompanying regulation, NCSU REG 11.35.02 (Student Discipline Procedures) describe the process to be followed when a student has been charged with a violation of the Code.

NC State embraces and strives to uphold the freedoms of expression and speech guaranteed by the First Amendment of the U.S. Constitution and the North Carolina Constitution. The university has the right under appropriate circumstances to regulate the time, place, and manner of exercising these and other constitutionally protected rights.

2. **DEFINITIONS**

The terms defined in the Student Discipline Procedures (Procedures) shall have the same meaning when used in the Code and are incorporated here by reference.

3. **AUTHORITY FOR STUDENT DISCIPLINE**

The Chancellor has the authority to establish procedures and impose disciplinary action on a student. The Chancellor may delegate such authority to University administrators or other officials.

4. **DEFINITION OF MISCONDUCT**

The definition of misconduct at NC State is set forth in this Code in order to give students general notice of prohibited conduct and is not designed to define misconduct in exhaustive terms.

5. **SCOPE**

5.1 Locations Covered

The Code applies to conduct that occurs on University premises, at University-sponsored activities, and to off-campus conduct that adversely affects the university community, its mission, programs, or the pursuit of its objectives. The Provost shall determine whether off-campus conduct falls within the scope of application of the Code.
5.2 Persons Covered

The Code applies to all students as defined in the Procedures. The university may initiate a disciplinary action against a student who violates this Code or other applicable University policies, regulations or rules, or federal, state or local law regardless of the actions taken by civil or criminal authorities or private litigants.

5.3 Violations of Law and Disciplinary Action

Students may be accountable to the university and to criminal or civil authorities for acts that constitute violations of law and of this Code. Disciplinary action at the university will normally proceed while criminal proceedings are pending and cannot be challenged on the basis that criminal charges involving the same incident have been dismissed, resolved, or reduced. However, a student who faces criminal charges may choose to submit to interim sanctions, which may include suspension and/or eviction, while the criminal proceeding is pending. The interim sanctions will be imposed by the Director without a hearing or ruling on the charges under the Code, in order to meet the needs of the campus community, but while protecting the respondent from creating a record that may be used against him or her in criminal court. Once a criminal judgment has been rendered against a student (including prayer for judgment), the university’s disciplinary process may proceed.

5.4 Student Groups or Organizations

5.4.1 A student group/organization and its officers may be held collectively or individually responsible for violations of the Code. Student groups/organizations may be charged with violations of the Code without regard to whether members of such groups/organizations are individually charged with violations arising from the same misconduct.

5.4.2 A position of leadership in a student group/organization entails responsibility. Student officers or leaders cannot knowingly permit, condone or acquiesce in any violation of the Code by the group/organization.

5.4.3 The officers or leaders or any identifiable representative for a student group/organization may be required by the Director to take appropriate action designed to address the violation of the Code or to prevent its recurrence by the student group/organization. Failure to comply with the Director’s directive shall be considered a violation of the Code, both by the officers, leaders, or representative for the student group/organization and by the student group/organization itself.

5.5 Additional Standards

Students in certain categories may also be subject to other University behavioral standards. For example, students who are enrolled in the Graduate School, the College of Veterinary Medicine, student athletes, ROTC, or students who live in residence halls may be subject to additional standards of behavior.
6. **STANDARDS OF CLASSROOM BEHAVIOR**

The primary responsibility for managing the classroom environment rests with the faculty. Students who engage in any unlawful acts or behaviors which result in disruption of a class, may be directed by the faculty member or University Police to leave the class for the remainder of the class period. If a disruptive student refuses to leave when the faculty member tells him or her to do so, the faculty member should leave the classroom and call University Police to remove the student. This provision regarding classroom behavior is not to be used to punish students with differing academic interpretations of course content, but to address behavior that is disruptive within the educational environment.

7. **REPORTS OF MISCONDUCT**

7.1 Any person may report alleged misconduct by a student or a student group/organization to the Office of Student Conduct. Misconduct should be reported in as timely a manner as possible. Failure to report misconduct in a timely manner can affect the ability to gather the information needed to assess whether the conduct would constitute a violation of the Code and to support the filing of a charge pursuant to the Code. In some cases, a delay in reporting may result in no charges being filed against the student or student group/organization.

7.2 Any person who reports possible misconduct by a student or a student group/organization is a “complainant,” for purposes of initiating an investigation of the reported misconduct, however, a designated University official (who may or may not have been the original “complainant”) serves as the “complainant” at any hearing.

7.3 Misconduct by a student or a student group/organization occurring within university housing should be reported to University Housing.

7.4 Persons wishing to withdraw a report of misconduct against a student or student group/organization must do so in writing. The university specifically reserves the right to pursue charges against a student or student group/organization for violations of the Code that threaten the safety or well-being of the campus community, constitute violent behavior as defined in NCSU REG04.05.02 - Campus/Workplace Violence Prevention and Management, or any other behavior that adversely affects the university or its educational programs or mission.

8. **ACADEMIC MISCONDUCT**

All members of the University community, students, faculty and other employees, have the responsibility to report academic misconduct to the appropriate authority.

Faculty members must undertake a threshold responsibility for such traditional safeguards as examination security and proctoring and should clearly communicate their academic expectations in the course syllabus. The use of the Pack Pledge, “I have neither given nor received unauthorized aid on this test or assignment,” on all syllabi, assignments, examinations, or other academic evaluations is encouraged. Similarly, faculty members should familiarize
themselves with the procedures for addressing academic misconduct. The procedures for reporting academic misconduct can be found in NCSU REG11.35.02 - Student Discipline Procedures.

Definitions regarding academic misconduct are set forth in writing in order to give students general notice of prohibited conduct. They should be read broadly and are not designed to define academic misconduct in exhaustive terms. If a student is in doubt regarding any matter relating to the standards of academic integrity in a given course or on a given assignment, that student must consult with the faculty member responsible for the course before presenting the work.

8.1 Aiding and Abetting

Aiding and abetting others to cheat or plagiarize is as detrimental to the scholarly community as engaging in the acts themselves. Aiding and abetting others to cheat or plagiarize includes, but is not limited to, the following:

(a) Giving unauthorized assistance to another or others during a test or evaluation;

(b) Posing as another student in order to meet a course or graduation requirement;

(c) Providing specific information about a recently given test, examination, or assignment to a student who thereby gains an unfair advantage in an academic evaluation;

(d) Providing aid to another person, knowing such aid is expressly prohibited by the faculty member, in the research, preparation, creation, writing, performing, or publication of work to be submitted for academic evaluation;

(e) Permitting one's academic work to be represented as the work of another; or

(f) Sharing or distributing academic materials, including class notes, in violation of the UNC Policy Manual 500.2 – Patent and Copyright Policies or NCSU REG01.25.02 – Copyright Infringement – Policy Statement.

8.2 Cheating

Cheating is the giving, taking, or presenting of information or material by a student that unethically or fraudulently aids oneself or another person on any work which is to be considered in the determination of a grade or the completion of academic requirements or the enhancement of that student's record or academic career. Cheating includes, but is not limited, to the following actions:

(a) Copying from someone else's assignment, examination, or other academic exercise;
(b) Possessing, buying, selling, removing, receiving, or using, at any time or in any manner not prescribed by the faculty member, any information related to an instrument of academic evaluation;

(c) Using materials, equipment, or assistance in connection with an assignment, examination, or other academic exercise which have not been authorized by the faculty member, including but not limited to, notes, calculator, or other technology;

(d) Obtaining or attempting to obtain in a dishonest manner any material relating to a student's academic work;

(e) Working with another or others in completing an assignment, examination, or other academic exercise when the faculty member has required independent and unaided action;

(f) Attempting to influence or change an academic evaluation, grade, or record by unfair means;

(g) Permitting another individual to substitute for one's self in an academic evaluation;

(h) Marking or submitting an examination or evaluation material in a manner designed to deceive the grading system;

(i) Failing to comply with a specific condition of academic integrity which has been clearly announced in a particular course;

(j) Submitting, without prior permission of the faculty member, any work by a student which has at any time been submitted in identical or similar form by that student in fulfillment of any other academic requirement at any institution;

(k) Submitting of material in whole or part for academic evaluation that has been prepared by another individual(s);

(l) Submitting data which have been altered or contrived in such a way as to be deliberately misleading; or

(m) Providing false information to the University in any manner to achieve an unfair advantage, enhance one’s record, or complete a requirement.

8.3 Destruction or Removal of Academic Materials

The destruction or removal of academic materials denies access to, and prevents the ability to develop the full potential of, scholarly resources. Prohibited acts under this section include, but are not limited to, the following:

(a) Removing or attempting to remove, destroy, steal, or make inaccessible library or other academic material without authorization; or
(b) Willfully damaging the academic work or efforts of another.

8.4 Plagiarism

Plagiarism is the use or close imitation of the language and thoughts of another and the representation of the other’s work as their own. The act of submitting work for evaluation or to meet a requirement is regarded as assurance that the work is the result of the student's own thought and study, produced without assistance, and stated in that student's own words, except as quotation marks, references, or footnotes acknowledge the use of other sources. Any ideas or materials taken from another source for either written or oral use must be fully and correctly acknowledged. Submission of work used previously must first be approved by the faculty member. Plagiarism includes, but is not limited, to the following actions:

(a) Representing the work of others as his or her own; or

(b) Submitting written materials without proper attribution or acknowledgment of the source.

9. SANCTIONS FOR ACADEMIC MISCONDUCT

Sanctions for academic misconduct result in the creation of a disciplinary file for individuals or groups. Sanctions are imposed to:

(a) Define a student or organization’s status at the university following a finding of responsible for a violation;

(b) Serve as a clear statement about University standards and expectations;

(c) Educate students on the effects of their behavior; and

(d) Attempt to affect a change in that behavior in the future.

Academic misconduct that involves advance planning, collaboration, falsification of papers, forms or documents, actual or potential harm to other students, or other aggravating circumstances may result in suspension or expulsion from the university. In addition, a student will be suspended (or expelled) if further academic misconduct is committed while he or she is on academic integrity probation. Where suspension is the minimum sanction to be imposed for a second instance of academic misconduct, a lesser sanction may be imposed at the Provost’s discretion only upon a showing of extraordinary circumstances by evidence and argument at the initial conduct process. Factors or circumstances affecting sanctions shall be considered on a case by case basis.

9.1 Academic Integrity Probation
A student found responsible for academic misconduct will usually be placed on academic integrity probation for the remainder of the student’s academic career. In addition, one or more of the sanctions listed below may be imposed.

9.2 Reduction in Grade

A reduction in grade on the assignment, examination, or academic exercise on which the violation occurred.

9.3 No Credit

No credit on the assignment, examination, or academic exercise on which the violation occurred, and/or no credit for the course.

9.4 Educational Exercises

Participation in an educational exercise regarding academic integrity.

9.5 Suspension

Suspension is a separation from the university for a specified period of time. While suspended, the student shall not participate in any University-sponsored activity and will be trespassed from University premises. Exceptions to this trespass may be granted by the Provost based on the written petition of the student and for good cause. In cases where the student will complete graduation requirement during the current semester, suspension is to take effect immediately. In cases where a student will complete graduation requirements in either summer session I or II, the suspension period will include both summer sessions. Notations of the suspension will appear on the student’s transcript. Suspension notations on transcripts may be removed at a later date upon student petition to the Provost. However, a disciplinary file indicating suspension will be maintained by the Office of Student Conduct on a permanent basis.

9.6 Expulsion

Expulsion may be imposed in the most severe cases of academic misconduct. Expulsion is a recommendation that must be approved by the Provost and is the permanent separation of the student from the university, unless at a later date the Chancellor concludes on the basis of the former student’s petition and any supportive documentation that he or she should be approved for reinstatement at NC State. When expelled, the student shall no longer participate in any University-sponsored activity and will be trespassed from University premises. A disciplinary file indicating expulsion will be maintained by the Office of Student Conduct on a permanent basis and will result in a permanent transcript notation. The student’s name will be included in the UNC system database for suspended/expelled students. Expulsion precludes enrollment at any UNC constituent institution.

9.7 Additional Sanctions
Additional sanctions not listed above may be imposed. These include, but are not limited to, required counseling, research and reflective writing assignments, as well as other non-academic sanctions listed in the Code. For graduate students, in addition to the sanctions imposed above, other sanctions may apply if the Dean of the Graduate School or the Dean of the College of Veterinary Medicine, as applicable, determines that the graduate student is subject to the policies and procedures established for the Graduate School or the College of Veterinary Medicine.

10. NON-ACADEMIC MISCONDUCT

Behavior that is subject to disciplinary action under the Code includes alleged violations of federal, state or local law that threaten the safety or well-being of the campus community, any act that constitutes violent behavior as defined in NCSU REG04.05.02 - Campus/Workplace Violence Prevention and Management, and any other behavior that adversely affects the University or its educational programs or mission. Attempts to commit acts prohibited by the Code may also be addressed through the conduct process. All members of the university community, students, faculty and other employees, have the responsibility to report non-academic misconduct.

Examples of behavior that will be subject to disciplinary action include:

10.1 Alcohol Violations

(a) Possession and/or consumption of alcoholic beverages by a person under the age of 21;

(b) Possession or consumption of any alcohol beverage inside any University Athletic facility except on such occasions as designated by the Chancellor;

(c) Aiding and abetting the possession and/or consumption of alcoholic beverages by a person who is under the age of 21;

(d) Consumption of any alcoholic beverages where it is not legally permissible to do so, regardless of age;

(e) Any other violations of the NC State Alcohol Policy; or

(f) Conduct that could form the basis of any charge relating to a violation of North Carolina laws regarding the purchase, possession, manufacture, and consumption of alcoholic beverages or driving while under the influence.

10.2 Computer and Network Abuse

(a) Theft or misuse of University computing resources, including violations of NCSU REG08.00.02 – Computer Use Regulation;

(b) Violation of NCSU REG01.25.02 – Copyright Infringement – Policy Statement.
(c) Unauthorized entry into or transfer of an electronic file;

(d) Use of another person’s computing identification and/or password without authorization or permission;

(e) Use of computing facilities to interfere with the work of another student, faculty member, or other NC State employee;

(f) Use of computing facilities to send obscene or harassing messages; or

(g) Use of computing facilities to interfere with normal operations of the NC State computing system.

10.3 Creating a Safety Hazard

(a) Creating a safety hazard, including but not limited to, starting or attempting to start a fire or failing to exit a building when a fire alarm is sounded; or

(b) Tampering with or misusing fire and/or other life safety equipment, including fire alarms, or elevators.

10.4 Damage to Property

Engaging in an act that intentionally or recklessly damages, destroys, or defaces property of the university or another.

10.5 Disorderly Conduct

(a) Engaging in conduct that disrupts class including, but not limited to, the use of cell phones or other electronic devices for voice or text communication, unless permitted by the faculty member;

(b) Participation in an on-campus or off-campus demonstration, riot, or activity that disrupts the normal operations of the University and/or infringes on the rights of other members of the University community;

(c) Leading or inciting others to disrupt scheduled and/or normal activities within any University building or other University premises;

(d) Obstruction that unreasonably interferes with freedom of movement or safe passage, either pedestrian or vehicular, on University premises;

(e) Conduct that is lewd, disruptive, or indecent;
(f) Engaging in conduct which disturbs the peace, order, or discipline at the university or University-sponsored activity;

(g) Any unauthorized use of electronic or other devices to make an audio or video record of any person without his/her prior knowledge, or without his/her consent when such a recording is likely to cause injury or distress; or

(h) Disruption or obstruction of teaching, research, administration, university programs, operations or other University-sponsored activities, including public service functions, on or off University premises, or other non-University activities when the act occurs on University premises.

10.6 Disruption of the Student Conduct Process

(a) Attempting to discourage an individual’s proper participation in, or use of, the conduct system;

(b) Attempting to influence the impartiality of the hearing officer, conduct board member, or appeal administrator;

(c) Harassment and/or intimidation of a hearing officer, conduct board member, or appeal administrator prior to, during, and/or after a student conduct proceeding; or

(d) Influencing or attempting to influence another person to commit an abuse of the conduct system.

10.7 Drug Violations

(a) Illegal possession or use of controlled substances as defined by the North Carolina General Statutes § 90-86 through § 90-113.8;

(b) Manufacturing, selling, or delivering any controlled substance or possession with intent to manufacture, sell or deliver any controlled substance;

(c) Misuse of any legal pharmaceutical drugs;

(d) Knowingly breathe or inhale any substance for the unlawful purpose of inducing a condition of intoxication; or

(e) Possession of drug-related paraphernalia, including but not limited to, pipes, bongs, hookahs and other water pipes.

Further information regarding drug violations is discussed in NCSU POL04.20.05 - Illegal Drugs and through UNC Policy Manual 1300.1 – Illegal Drugs.
10.8 Failure to Comply

(a) Failing to comply with the directions of University employees, including University Police in performance of their duties;

(b) Failing to submit identification upon request to duly authorized and properly identified University officials; or

(c) Failing to comply with the sanctions imposed under this Code.

10.9 Fireworks

Unauthorized possession or use of fireworks or explosive device on University premises.

10.10 Hazing

Causing or permitting a person, incident to initiation into or membership in a society, club, athletic team, or similar group or organization, to participate in any activity that subjects or is likely to subject that person or others to risks of physical injury, mental distress, or personal indignities, or which destroys or removes public or private property, whether or not such person has consented to participation in the activity. Silent participation or acquiescence in the presence of hazing are not neutral acts; they are violations of this section.

10.11 Harassment

(a) No student shall threaten, coerce, or intimidate another person or identifiable group of persons, based upon membership in a protected class as prescribed in NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy); or

(b) No student shall engage in harassment as defined by NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy). Charges of sexual harassment are covered separately under section 10.15 of this policy.

In determining whether student conduct violates these provisions, all relevant facts and circumstances shall be considered. Care must be exercised in order to preserve freedoms of speech and expression, as articulated in current legal standards. Advice should be sought from the Office of General Counsel and the Office of Institutional Equity and Diversity, as appropriate.

10.12 Infliction or Threat of Bodily Harm

(a) Inflicting physical injury upon another;

(b) Placing another in fear of, or at risk of, physical injury or danger; or
(c) Intentionally or recklessly acting in a manner that creates a substantial risk of bodily harm to another.

10.13 Providing False Information

(a) Intentionally initiating or causing to be initiated any known false report, warning or threat of fire, explosion or other emergency;

(b) Forgery, alteration, or misuse of any University document, records, or instrument of identification;

(c) Furnishing false information, oral or written, to any University official, faculty or staff member, or office; or

(d) Possession or use of an instrument of identification that is not one’s own or is fictitious or altered.

10.14 Relationship Violence

Conduct arising out of a personal, intimate relationship that:

(a) Inflicts physical injury upon another person; or

(b) Places another in fear of, or at risk of, physical injury or danger.

10.15 Sexual Misconduct

Sexual Misconduct includes:

(a) Sexual Harassment, as defined in NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy). Sexual harassment may include, for example, unwelcome sexual advances and sexual favors. Sexual harassment also includes acts of sexual violence.

(b) Sexual Exploitation, which is taking sexual advantage of another person without consent, and includes, but is not limited to, causing or attempting to cause the incapacitation of another person in order to gain a sexual advantage over the other person; causing the prostitution of another person; recording, photographing or transmitting identifiable images of private sexual activity and/or the intimate parts (including genitalia, groin, breasts or buttocks) of another person; and allowing third parties to observe private sexual acts.

(c) Sexual Contact (without consent), which is the deliberate touching of a person’s intimate parts (including genitalia, groin, breast or buttocks or clothing covering any of those areas); or the deliberate touching of another person with one’s intimate parts of the person; or using force to cause a person to touch his/her own or another person’s intimate parts.
(d) Sexual Intercourse (without consent), which is the penetration (anal, oral or vaginal) of a person by a penis, tongue, finger or an inanimate object; or

(e) Retaliation (including threats, harassment, intimidation, coercion) against a person because he/she filed a complaint alleging sexual misconduct or participated in an investigation or procedure involving charges of sexual misconduct.

10.16 Stalking

(a) Engaging in a course of conduct directed at a specific person without legal purpose and the individual engaging in that conduct knows or should know that the course of conduct would cause a person to:

(i) Fear for the person’s safety or the safety of the person’s immediate family or close friends; or

(ii) Suffer substantial emotional distress.

(b) Using any words or language in an electronic communication that threatens to inflict bodily harm to any person or to any member of the person’s family or household, or physical injury to the property of any person, or for the purpose of extorting money or other things of value from any person;

(c) Electronically communicating to another repeatedly, whether or not a conversation ensues, for the purpose of abusing, annoying, threatening, terrifying, or embarrassing any person; or

(d) Electronically communicating to another and to knowingly make false statement concerning death, injury, illness, disfigurement, indecent conduct, or of any member of the person’s family or household with the intent to abuse, annoy, threaten, terrify, or embarrass.

10.17 Theft

(a) Stealing or attempting to steal another’s property, money or services;

(b) Knowingly possessing, purchasing, or exchanging stolen or embezzled property, money or services;

(c) Unauthorized use or access to private or confidential information in any medium; or

(d) Unauthorized possession, duplication, or use of keys or card access to any University premises.

10.18 Trespass
Unauthorized entry to University premises, including intruding upon, forcibly entering, or otherwise proceeding into unauthorized areas of University premises, or the residential space of another without permission.

**10.19 Unauthorized Use of Property**

Attempted or actual use of property of NC State, property of a University community member, or other personal or public property without proper authorization, or in a manner for which the property was not intended.

**10.20 Violation of University Policies, Regulations, or Rules**

Violation of any written policies, regulations, or rules of the University, as adopted by the University and as may be amended from time to time.

**10.21 Weapons**

(a) Illegal or unauthorized possession of weapons on University premises or at University-sponsored activities; or

(b) Possession or use of weapons in any manner that harms, threatens, or causes fear to others.

**11. SANCTIONS**

Sanctions in this section result in the creation of a disciplinary file for individuals or groups. Sanctions are imposed to:

(a) Define a student or organization’s status at the university following a finding of responsible for a violation;

(b) Serve as a clear statement about University standards and expectations;

(c) Educate students on the effects of their behavior; and

(d) Attempt to affect a change in that behavior in the future.

Misconduct that involves substantial theft or fraud, significant physical damage to property, sexual misconduct, relationship violence, stalking, substantial physical, emotional or mental damage to persons, committed at least in part because of the victim’s membership in a protected class, or actions that create a substantial risk of bodily harm may result in suspension or expulsion from the university. Sanctions for drug-related misconduct are governed by NCSU POL04.20.05 - Illegal Drugs.

Mitigating or aggravating factors or circumstances affecting sanctions shall be considered prior to imposing a sanction. Factors to be considered may include, but are not limited to: a student’s
demonstration of insight for his or her misconduct, present demeanor and attitude, past
disciplinary record of the student, community service or assistance related to the misconduct, the
nature of the misconduct, as well as the degree of any damage, injury, or harm resulting from it.
The Office of Student Conduct may upon initial review of the charges and accompanying
narrative determine whether, if proved, the misconduct could result in sanctions of suspension or
expulsion and schedule a hearing accordingly.

One or more of the sanctions listed below may be imposed for non-academic misconduct:

11.1 Written Warning

A Written Warning is a disciplinary reprimand that serves as notice that continuation or
repetition of prohibited conduct may be cause for additional disciplinary actions.

11.2 Disciplinary Probation

Disciplinary Probation is a pre-suspension status. A student may be placed on disciplinary
probation for a period no less than the remainder of the current semester up to the remainder of
his or her academic career. If found responsible for a violation while on disciplinary probation, a
student may face more severe sanctions up to and including suspension or expulsion.

11.3 Suspension

Suspension is a separation from the university for a specified period of time after which the student may be eligible to return. While suspended, the student shall not participate in any University-sponsored activity and will be trespassed from University premises. Exceptions to this trespass may be granted by the Provost based on the written petition of the student and for good cause. The student’s name will be included in the UNC System database for suspended/expelled students. In cases where the student will complete graduation requirement during the current semester, suspension is to take effect immediately. In cases where a student will complete graduation requirements in either summer session I or II, the suspension period will include both summer sessions. Notations of the suspension will appear on the student’s transcript. Suspension notations on transcripts may be removed at a later date upon student petition to the Provost. However, a disciplinary file indicating suspension will be maintained by the Office of Student Conduct on a permanent basis.

11.4 Expulsion

Expulsion is a recommendation that must be approved by the Provost and is a permanent
separation of the student from the university, unless at a later date the Chancellor concludes on
the basis of the former student’s petition and any supportive documentation that he or she should be approved for reinstatement at NC State. When expelled, the student shall no longer participate in any University-sponsored activity and will be trespassed from University premises. A disciplinary file indicating expulsion will be maintained by the Office of Student Conduct and will result in a permanent transcript notation. The student’s name will be included in the UNC
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System database for suspended/expelled students. Expulsion precludes enrollment at any UNC constituent institution.

11.5 Eviction

Eviction is the removal of the student from any University housing. Eviction may be for a period no less than the remainder of the current semester up to the remainder of the student’s academic career, at the discretion of the Director, University Housing. All costs incidental to eviction are the responsibility of the student. Students subject to eviction will be trespassed from entering all University housing.

11.6 Restriction of Privileges

Restriction of privileges may be applied when the student’s violation(s) are related to the benefit that one receives as a student at NC State. Examples of privileges that may be restricted include, but are not limited to: attendance at University athletic events, use of Carmichael Complex, visitation in University housing, or participation in intercollegiate athletic events. Some exceptions may be made to ensure access to primary University services such as food services, health care, or academic resources.

11.7 Additional Sanctions

Additional sanctions not specifically listed above may be imposed. Such sanctions, where appropriate, may include but are not limited to: service or research projects, required counseling, participation in special educational programs, restitution for damage to or destruction of property, relocation to another room or residence with coordination of appropriate University staff, behavioral contracts, trespass or no contact orders, etc. Additional group or organizational sanctions may include revocation or denial of registration or recognition.

12. INTERIM ACTIONS

In certain circumstances, NC State may take one or more interim actions to safeguard the university community before a student conduct process begins or is completed. These interim actions may be imposed effective immediately, without prior notice, when, in the university’s judgment, there is a need to implement an individualized response based on the status of the student, the seriousness of the alleged violation(s) of the Code and/or the potential for an ongoing threat or disruption to the University community. The university may take interim actions as follows:

12.1 Extraordinary Measure: Interim Suspension

An extraordinary measure in the form of an interim suspension is a diversion from the regular disciplinary process, but may be necessary to ensure the safety and well-being of the campus community. Students subjected to an interim suspension will be accorded a hearing as provided for in the Procedures.
12.1.1 A student may be suspended on an interim basis, if the student:

(a) Poses an ongoing threat of disruption of, or interference with, the normal operations of the university;

(b) Poses a threat of causing physical harm to others or of placing others in fear of imminent danger;

(c) Poses a threat of causing significant property damage;

(d) Has been charged with a violation of NCSU REG04.05.02 - Campus/Workplace Violence Prevention and Management;

(e) Has been charged with a violation of NCSU POL04.20.05 - Illegal Drugs; or

(f) Has been charged with relationship violence, sexual misconduct, or stalking and there is a need to separate the respondent from campus.

12.1.2 A student may be suspended on an interim basis if the Director, in his or her professional judgment, finds that the student is suffering from a mental, emotional, or psychological disorder, and as a result of this disorder, the student has engaged in, or threatens to engage in behavior which:

(a) Causes physical harm to others or would place others in fear of imminent danger;

(b) Causes significant property damage; or

(c) Causes disruption of, or interference with the normal operations of the university.

12.1.3 A student may be suspended on an interim basis, if, as a result of a mental disorder, a student charged with a violation of the Code:

(a) Lacks the capacity to respond to pending disciplinary charges;

(b) Did not know the nature or wrongfulness of the conduct at the time of the offense; or

(c) Poses a significant risk to the health or safety of others.

12.2 Other Interim Actions

The university may take interim actions other than suspension to ensure the safety and well-being of the campus community including, but not limited to, “no contact” orders, relocation in University housing, and adjustments to class schedules. Any interim actions taken may not be used as evidence to support charges under the Code.
13. **INTERPRETATIONS AND REVIEW**

13.1 Any question of interpretation or application of the Code will be referred to the Provost for final determination.

13.2 The Code shall be reviewed every three (3) years under the direction of the Director and in consultation with other campus units as appropriate.
1. INTRODUCTION

All students at North Carolina State University (NC State) are responsible for conducting themselves in a manner that helps enhance an environment of learning in which the rights,
dignity, worth, and freedom of each member of the academic community are respected. Violations of campus or University policies, rules or regulations, or federal, state, or local law may result in a violation of the Code of Student Conduct and imposition of sanctions.

This Code of Student Conduct (Code) establishes the expectations for student conduct in the University community. The Code, therefore, proscribes the types of behavior that adversely affects the University community, and the resulting actions that may be taken to both educate students about behavioral expectations and to protect NC State’s community. This Code and its accompanying regulation, NCSU REG 11.35.02 (Student Disciplinary Procedures) (Procedures) describe the process to be followed when a student has been charged with a violation of the Code.

NC State embraces and strives to uphold the freedoms of expression and speech guaranteed by the First Amendment of the U.S. Constitution and the North Carolina Constitution. The University has the right under appropriate circumstances to regulate the time, place, and manner of exercising these and other constitutionally protected rights.

2. DEFINITIONS

The terms defined in the Student Discipline Procedures ("Procedures") shall have the same meaning when used in the Code and are incorporated here by reference. When used in the Code the following definitions apply to this policy:

2.1 "Academic Misconduct" shall also mean the term "academic dishonesty" in N.C. Gen. Stat. § 116-40.11.

2.2 The terms Chancellor, Provost, Dean of the Graduate School, Dean of the College of Veterinary Medicine, and Director of University Housing, Director, Office of Student Conduct, include their designees or appointees.

2.3 "Complainant" means an individual(s) making a complaint or a formal accusation of student misconduct incidents against a student or group/organization. At hearings, the complainant is a designated university official who may offer information or documentary information to present a case of misconduct and/or call other witnesses to do so, and may be someone other than the individual who submitted the formal accusation reported the incidents of student misconduct against a student or group/organization.

2.4 "Course of Conduct" means two or more acts, including, but not limited to, acts in which the person directly, indirectly, or through third parties, by any action, method, device, or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person, or interferes with a person’s property.

2.4 "Delivery" means sale, transfer, exchange or sharing of any kind.
2.5 “Director” means the Director of the Office of Student Conduct, or designee.

2.5 “Electronic communication” means the transmission of information or communication by the use of the Internet, including any form of social media, a computer, facsimile machine, a pager, cellular telephone, a video recorder, or other electronic means sent to or directed at a person.

2.6 “Faculty member” means any person with a University designation of Professor, Associate Professor, Assistant Professor, Lecturer, Instructor, and shall include personnel of the United States armed forces during the time they are assigned under military orders to an ROTC program of a constituent institution of the University of North Carolina as a permanent change of station. For the purposes of this Code, graduate teaching assistants will also be included in this category.

2.7 “Group” means a number of persons students who are associated with each other and who have not complied with University requirements for registration as a student organization.

2.8 “Organization” means a number of students who have complied with University requirements for registration or recognition.

2.9 “Protected class” means a group of people who share common characteristics and are protected from discrimination and harassment under federal and state laws, and/or University policy. The following protected class groups are protected by law and/or University policy: race, color, religion, national origin, gender, sexual orientation, gender identity, disability, genetic information, creed, and veteran status.

2.10 “Reckless” means conduct which one should reasonably be expected to know would create a substantial risk of harm to persons or property or which would otherwise be likely to result in interference with normal University or University-sponsored activities.

2.XX “Sexual Misconduct” is a broad term encompassing “Sexual Exploitation,” “Sexual Harassment,” “Sexual Contact” (Without Consent) and “Sexual Intercourse” (Without Consent) as defined by this Policy. Sexual misconduct can occur between strangers or acquaintances, including people involved in an intimate sexual relationship. Sexual misconduct can be committed by men or by women and it can occur between people of the same or different sex.

“Sexual Exploitation” means taking sexual advantage of another person without Effective Consent, and includes, but is not limited to, causing or attempting to cause the incapacitation of another person in order to gain a sexual advantage over the other person; causing the prostitution of another person; recording, photographing or transmitting identifiable images of private sexual activity and/or the intimate parts (including genitalia, groin, breasts or buttocks) of another person; and allowing third parties to observe private sexual acts.

“Sexual Harassment” is harassment as defined in NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy) based on sex. Sexual harassment may
include, for example, unwelcome sexual advances and sexual favors. Sexual harassment includes acts of sexual violence.

—“Sexual Contact” means the deliberate touching of a person’s intimate parts (including genitalia, groin, breast or buttocks) or clothing covering any of those areas or the deliberate touching of another person with one’s intimate parts of the person or using force to cause a person to touch his/her own or another person’s intimate parts.

—“Sexual Intercourse” means penetration (anal, oral or vaginal) by a penis, tongue, finger or an inanimate object.

2.11 “Staff member” shall mean a person whose employment obligations within the University of North Carolina renders the employee eligible for membership in the Teachers' and State Employees’ Retirement System of North Carolina; the Optional Retirement Plan or the Law-Enforcement Officers’, Firemen’s, Rescue Squad-Workers’, and Civil Air Patrol Members’ Death Benefits Act established under NC Gen. Stat. § 143-166.1.

2.12 “Student” means any person from the time they accept admission to NC State through the date of their graduation. This includes but is not limited to: new students at Orientation; persons not currently enrolled, but who are still seeking a degree from NC State, and any other person enrolled in a credit earning course offered by NC State. For purposes of exercising jurisdiction for university discipline, it also includes any person who has graduated from NC State if the University determines that his/her graduation or receipt of credit may have involved academic misconduct while he/she was working toward a degree.

2.13 “Student Conduct Referral Report” (SCR) refers to a document written by University Police or other University employees and given to a respondent and the Office of Student Conduct that notifies them him/her of the charges against them him/her that provides a report of misconduct. The SCR may be amended to reflect additional charges, reports of misconduct or a more accurate description of charges the misconduct by University Police or the Director(s) Office of Student Conduct, with notification to the providing the respondent is notified in writing.

2.14 “University” means NC State and all of its undergraduate, graduate, and professional schools, colleges, and administrative units.

2.15 “University premises” means buildings or grounds owned, leased, operated, controlled or supervised managed by NC State.

2.16 “University-sponsored activity” means any activity on or off-campus which is initiated, aided, authorized, or supervised by the University or a University organization.

2.17 “Weapon” means any object, instrument, or substance used, attempted to be used, or capable of inflicting a wound, causing injury, or incapacitating and may include, but is not limited to: all firearms, pellet guns, paintball guns, tasers or stun guns, switchblade knives, bowie
knives, chemicals such as “mace” or tear gas (if used in an illegal manner), any explosive agents, or any object as defined in N.C. Gen. Stat. § 14-269.2.

2.18 “Without consent” means that an act was committed either by force (threat, coercion, force, or intimidation), or through the manipulation of the victim’s mental or physical ability such as when the victim is physically or mentally incapacitated by alcohol or other drugs. One does not have to be intoxicated or drunk to be considered incapacitated. Rather, incapacitation is determined by how a person’s decision-making capacity, awareness of the consequences and ability to make judgments is affected. One who is incapacitated as a result of alcohol or other drug consumption (voluntary or involuntary), or who is unconscious, unaware, or otherwise unable or under the legal age to provide consent, is incapable of giving consent.

3. AUTHORITY FOR STUDENT DISCIPLINE

The Chancellor has the authority to establish procedures and to impose disciplinary action on a student. The Chancellor may delegate such authority to University administrators or other officials as set forth in the Code or in other appropriate policies, regulations or rules.

4. DEFINITION OF MISCONDUCT

The definition of misconduct at NC State is set forth in this Code in order to give students general notice of prohibited conduct and is not designed to define misconduct in exhaustive terms.

5. JURISDICTION SCOPE

5.1 Coverage

5.1.1 – Locations Included Covered

The Code applies to conduct that occurs on University premises, at University-sponsored activities, and to off-campus conduct that adversely affects the University community, its mission, programs, or the pursuit of its objectives. The Provost shall determine whether off-campus conduct falls within the scope of application of the Code.

5.1.2 Persons Covered

The Code applies to all students as defined in section 2.12 above in the Procedures. The University may initiate a disciplinary action against a student who violates this Code or other applicable University policies, regulations or rules, federal, state or local law regardless of the actions taken by civil or criminal authorities or private litigants.

5.1.3 Violations of Law and Disciplinary Action

Students may be accountable to both civil authorities and to the University and to criminal or civil authorities for acts that constitute violations of law and of this Code. Disciplinary action at
the University will normally proceed while criminal proceedings are pending and cannot be challenged on the basis that criminal charges involving the same incident have been dismissed, resolved, or reduced. However, a student who faces criminal charges may choose to submit to interim sanctions, which may include suspension and/or eviction, while the criminal proceeding is pending. The interim sanctions will be imposed by the Director, Office of Student Conduct, without a hearing or ruling on the behavior in question charges under the Code, so as to protect in order to meet the needs of the campus community, but while protecting the respondent from creating a record that may be used against him or her in criminal court. Once a criminal judgment has been rendered against a student (including prayer for judgment), campus the University’s disciplinary process may proceed.

5.42 - Student Groups or Organizations

5.24.1 A student group or organization and its officers may be held collectively or individually responsible for violations of the Code. Student groups and organizations may be charged with violations of the Code without regard to whether members of such groups or organizations are individually charged with violations arising from the same incident misconduct.

5.24.2 A position of leadership in a student group or organization entails responsibility. Student officers or leaders cannot knowingly permit, condone or acquiesce in any violation of the Code by the group or organization.

5.24.3 The officers or leaders or any identifiable representative for a student group or organization may be directed to directly by the Director, Office of Student Conduct, to take appropriate action to prevent or end address the violation of the Code or to prevent its recurrence by the student group or organization. Failure to make reasonable efforts to comply with the Director’s directive shall be considered a violation of the Code, both by the officers, leaders, or representative for the student group or organization and by the student group or organization itself.

5.53 - Additional Standards

Students in certain categories may also be subject to other University behavioral conduct codes or other standards. For example, students who are enrolled in the Graduate School, the College of Veterinary Medicine, student athletes, ROTC, or students who live in residence halls may be subject to additional standards of behavior.

6. STANDARDS OF CLASSROOM BEHAVIOR

The primary responsibility for managing the classroom environment rests with the faculty. Students who engage in any prohibited or unlawful acts, or behaviors including those expressly prohibited by the instructor as a means of establishing classroom expectations, which result in disruption of a class, may be directed by the faculty member or University Police to leave the class for the remainder of the class period. If a disruptive student refuses to leave when the instructor faculty member tells him or her to do so, the instructor faculty member should avoid a potential or actual altercation by leaving the classroom and calling University Police to
remove the student. Longer suspensions from a class, or disenrollment on disciplinary grounds, must be preceded by a disciplinary conference or hearing via Extraordinary Intervention Procedures as described in the Student Discipline Procedures. This provision regarding classroom behavior is not designed to be used as a means to punish students with differing academic interpretations of course content, but to address behavior that is contrary to or disruptive within the educational environment.

7. CASE REFERRALS REPORTS OF MISCONDUCT

7.1- Any person may report misconduct by a student or a student group or organization suspected of violating this Code to the Office of Student Conduct. Charges Reports Misconduct should be filed in as timely a fashion as possible a manner as possible to ensure the opportunity for affecting behavior change. Failure to file charges make reports misconduct in a timely manner can affect the ability to timeframe where gather the information needed to assess whether the misconduct would constitute a violation of the Code can be gathered to support the report and to support the filing of a charge pursuant to the Code. In some cases, a delay in reporting may result in no formal charges being filed against the student or student group or organization in the dismissal of the charges.

7.2 Any person who reports misconduct by a student or a student group/organization is a “complainant.” For purposes of initiating the conduct process, however, a designated University official (who may or may not have been the original “complainant”) serves as the “complainant” at any hearing.

7.3- Allegations of violations Misconduct by a student or a student group/organization occurring within University housing residence halls should be referred reported to the appropriate hall or area staff from University Housing unless there are other aggravating circumstances present.

7.3- A University employee who refers a case report incidents of misconduct is normally expected to serve as the complainant, and to present relevant information in disciplinary hearings or conferences. Students or others who refer cases report incidents of misconduct may serve as witnesses in the disciplinary process while a designated University employee serves as a complainant. University Police may document behavior to the Office of Student Conduct via Student Conduct Referrals.

7.4- Persons wishing to withdraw charges a report of misconduct against a student or a student group/organization must do so in writing. However, the University specifically reserves the right to pursue these charges against a student or student group/organization for violations of the Code that threaten the safety or well-being of the campus community, constitute violent behavior, as defined in NCSU REG04.05.02 - Campus/Workplace Violence Prevention and Management, or that adversely affects the University or its educational programs or mission, may impact the health, safety, and welfare of the campus community or might otherwise interfere with the educational mission of the University.

8. ACADEMIC MISCONDUCT
All members of the University community, students, faculty and staff/other employees, shall have the responsibility and authority to challenge and make known academic misconduct to the appropriate authority - acts of apparent academic misconduct.

Faculty members must undertake a threshold responsibility for such traditional safeguards as examination security and proctoring and should clearly communicate their academic expectations in the course syllabus. The use of the Pack Pledge, "I have neither given nor received unauthorized aid on this test or assignment," on all syllabi, assignments, examinations, or other academic evaluations is encouraged. Similarly, faculty members should familiarize themselves with the procedures for addressing academic misconduct. The procedures for reporting academic misconduct can be found in NCSU REG11.35.02 - Student Discipline Procedures.

Definitions regarding academic misconduct are set forth in writing in order to give students general notice of prohibited conduct. They should be read broadly and are not designed to define academic misconduct in exhaustive terms. If a student is in doubt regarding any matter relating to the standards of academic integrity in a given course or on a given assignment, that student shall consult with the faculty member responsible for the course before presenting the work.

8.1- Aiding and Abetting

Aiding and abetting others to cheat or plagiarize is as detrimental to the scholarly community as engaging in the acts themselves. Aiding and abetting others to cheat or plagiarize includes, but is not limited to, the following:

(a) Giving unauthorized assistance to another or others during a test or evaluation;

(b) Posing as another student in order to meet a course or graduation requirement;

(c) Providing specific information about a recently given test, examination, or assignment to a student who thereby gains an unfair advantage in an academic evaluation;

(d) Providing aid to another person, knowing such aid is expressly prohibited by the instructor/faculty member, in the research, preparation, creation, writing, performing, or publication of work to be submitted for academic evaluation;

(e) Permitting one's academic work to be represented as the work of another; or

(f) Sharing or distributing academic materials, including class notes, in violation of the UNC Policy Manual 500.2 – Patent and Copyright Policies or NCSU REG01.25.02 – Copyright Infringement – Policy Statement.

8.2- Cheating

Cheating is the giving, taking, or presenting of information or material by a student that unethically or fraudulently aids oneself or another person on any work which is to be considered
in the determination of a grade or the completion of academic requirements or the enhancement of that student's record or academic career. Cheating includes, but is not limited, to the following actions:

(a) Copying from someone else's assignment, examination, or other academic exercise;

(b) Possessing, buying, selling, removing, receiving, or using, at any time or in any manner not prescribed by the instructor faculty member, any information related to an instrument of academic evaluation;

(c) Using materials, equipment, or assistance in connection with an assignment, examination, or other academic exercise which have not been authorized by the instructor faculty member, including but not limited to, notes, calculator, or other technology;

(d) Obtaining or attempting to obtain in a dishonest manner any material relating to a student's academic work;

(e) Working with another or others in completing an assignment, examination, or other academic exercise when the instructor faculty member has required independent and unaided action;

(f) Attempting to influence or change an academic evaluation, grade, or record by unfair means;

(g) Permitting another student individual to substitute for one's self in an academic evaluation;

(h) Marking or submitting an examination or evaluation material in a manner designed to deceive the grading system;

(i) Failing to comply with a specific condition of academic integrity which has been clearly announced in a particular course;

(j) Submitting, without prior permission of the instructor faculty member, any work by a student which has at any time been submitted in identical or similar form by that student in fulfillment of any other academic requirement at any institution;

(k) Submitting of material in whole or part for academic evaluation that has been prepared by another individual(s);

(l) Submitting data which have been altered or contrived in such a way as to be deliberately misleading; or

(m) Providing false information to the University in any manner to achieve an unfair advantage, enhance one's record, or complete a requirement.

8.3- Destruction or Removal of Academic Materials
The destruction or removal of academic materials denies access to, and prevents the ability to develop the full potential of, scholarly resources. Prohibited acts under this section include, but are not limited to, the following:

(a) Removing or attempting to remove, destroy, steal, or make inaccessible library or other academic material without authorization; or

(b) Willfully damaging the academic work or efforts of another.

8.4 Plagiarism

Plagiarism is the use or close imitation of the language and thoughts of another and the representation of the other’s work as their own. The act of submitting work for evaluation or to meet a requirement is regarded as assurance that the work is the result of the student’s own thought and study, produced without assistance, and stated in that student’s own words, except as quotation marks, references, or footnotes acknowledge the use of other sources. Any ideas or materials taken from another source for either written or oral use must be fully and correctly acknowledged. Submission of work used previously must first be approved by the faculty member. Plagiarism includes, but is not limited to, the following actions:

(a) Representing the work of others as his or her own; or

(b) Submitting written materials without proper attribution or acknowledgment of the source.

9. SANCTIONS FOR ACADEMIC MISCONDUCT

Sanctions for academic misconduct result in the creation of a disciplinary file for individuals or groups. Sanctions are imposed to:

(a) Define a student or organization’s status at the University following a finding of responsible for a violation;

(b) Serve as a clear statement about University standards and expectations;

(c) Educate students on the effects of their behavior; and

(d) Attempt to affect a change in that behavior in the future.

Academic misconduct that involves advance planning, collaboration, falsification of papers, forms or documents, actual or potential harm to other students, or other aggravating circumstances may result in suspension or expulsion from the University. In addition, a student will be suspended (or expelled) if further academic misconduct is committed while he or she is on academic integrity probation. Where suspension is the minimum sanction to be imposed for a second instance of academic misconduct, a lesser sanction may be imposed at the Provost’s discretion only upon a showing of extraordinary circumstances by evidence and argument at the
initial conduct process. Factors or circumstances affecting sanctions shall be considered on a 
case by case basis.

9.1- Academic Integrity Probation

A student found responsible for academic misconduct will usually be placed on academic 
integrity probation for the remainder of the student’s academic career. In addition, one or more 
of the sanctions listed below may be imposed.

9.2- Reduction in Grade

A reduction in grade on the assignment, examination, or academic exercise on which the 
violation occurred.

9.3- No Credit

No credit on the assignment, examination, or academic exercise on which the violation occurred, 
and/or no credit for the course.

9.4- Educational Exercises

Participation in an educational exercise regarding academic integrity.

9.5- Suspension

Suspension is a separation from the University for a specified period of time. While suspended, 
the student shall not participate in any University-sponsored activity and will be trespassed from 
University premises. Exceptions to this trespass may be granted by the Provost based on the 
written petition of the student and for good cause. In cases where the student will complete 
graduation requirement during the current semester, suspension is to take effect immediately. In 
cases where a student will complete graduation requirements in either summer session I or II, the 
suspension period will include both summer sessions. Notations of the suspension will appear on 
the student’s transcript. Suspension notations on transcripts may be removed at a later date upon 
student petition to the Provost. However, a disciplinary file indicating suspension will be 
maintained by the Office of Student Conduct on a permanent basis.

9.6- Expulsion

Expulsion may be imposed in the most severe cases of academic misconduct. Expulsion is a 
recommendation that must be approved by the Provost and is the permanent separation of the 
student from the University, unless at a later date the Chancellor concludes on the basis of the 
former student’s petition and any supportive documentation that he or she should be approved 
for reinstatement at NC State. When expelled, the student shall no longer participate in any 
University-sponsored activity and will be trespassed from University premises. A disciplinary 
file indicating expulsion will be maintained by the Office of Student Conduct on a permanent 
basis and will result in a permanent transcript notation. The student’s name will be included in
the UNC system database for suspended/expelled students. Expulsion precludes enrollment at any UNC constituent institution.

9.7- Additional Sanctions

Additional sanctions not listed above may be imposed. These include, but are not limited to, required counseling, research and reflective writing assignments, as well as other non-academic sanctions listed in this Code. For graduate students, in addition to the sanctions imposed above, other sanctions may apply if the Dean of the Graduate School or the Dean of the College of Veterinary Medicine, as applicable, determines that the graduate student is subject to the policies and procedures established for the Graduate School or the College of Veterinary Medicine.

10. NON-ACADEMIC MISCONDUCT

Behavior that is subject to disciplinary action under this Code includes alleged violations of federal, state or local law that threaten the safety or well-being of the campus community, any act that constitutes violent behavior, as defined in NCSU REG04.05.02 - Campus/Workplace Violence Prevention and Management, and any other behavior that adversely affects the University or its educational programs or mission. Attempts to commit acts prohibited by the Code may also be addressed through the conduct process. All members of the University community, students, faculty and staff, other employees, share the responsibility and authority to challenge and make known to the appropriate authority acts of apparent non-academic misconduct.

Examples of behavior that will be subject to disciplinary action include:

10.1- Alcohol Violations

(a) Possession and/or consumption of alcoholic beverages by a person under the age of 21;

(b) Possession or consumption of any alcohol beverage inside any University Athletic facility except on such occasions as designated by the Chancellor;

(c) Aiding and abetting the possession and/or consumption of alcoholic beverages by a person who is under the age of 21;

(d) Consumption of any alcoholic beverages where it is not legally permissible to do so, regardless of age;

(e) Any other violations of the NC State Alcohol Policy; or

(f) Conduct that could form the basis of any charge relating to a violation of North Carolina laws regarding the purchase, possession, manufacture, and consumption of alcoholic beverages or driving while under the influence.
10.2 Computer and Network Abuse

(a) Theft or misuse of University computing resources, including violations of NCSU REG 08.00.02 – Computer Use Regulation;

(b) Violation of NCSU REG 01.25.02 – Copyright Infringement – Policy Statement;

(c) Unauthorized entry into or transfer of an electronic file;

(d) Use of another person’s computing identification and/or password without authorization or permission;

(e) Use of computing facilities to interfere with the work of another student, faculty member, or other NC State employee;

(f) Use of computing facilities to send obscene or harassing messages; or

(g) Use of computing facilities to interfere with normal operations of the NC State computing system.

10.3 Creating a Safety Hazard

(a) Creating a safety hazard, including but not limited to, starting or attempting to start a fire or failing to exit a building when a fire alarm is sounded; or

(b) Tampering with or misusing fire and/or other life safety equipment, including fire alarms, or elevators.

10.4 Damage to Property

Engaging in an act that intentionally or recklessly damages, destroys, or defaces property of the University or another.

10.5 Disorderly Conduct

(a) Engaging in conduct that disrupts class including, but not limited to, the use of cell phones or other electronic devices for voice or text communication, unless permitted by the instructor or faculty member;

(b) Participation in an on-campus or off-campus demonstration, riot, or activity that disrupts the normal operations of the University and/or infringes on the rights of other members of the University community;

(c) Leading or inciting others to disrupt scheduled and/or normal activities within any University building or other University premises;
(d) Obstruction that unreasonably interferes with freedom of movement or safe passage, either pedestrian or vehicular, on University premises;

(e) Conduct that is lewd, disruptive, or indecent;

(f) Engaging in conduct which disturbs the peace, order, or discipline at the University or University-sponsored activity;

(g) Any unauthorized use of electronic or other devices to make an audio or video record of any person without his/her prior knowledge, or without his/her consent when such a recording is likely to cause injury or distress; or

(h) Disruption or obstruction of teaching, research, administration, university programs, operations or other University-sponsored activities, including public service functions, on or off University premises, or other non-University activities when the act occurs on University premises.

10.6 - Disruption of the Student Conduct Process

(a) Attempting to discourage an individual’s proper participation in, or use of, the conduct system;

(b) Attempting to influence the impartiality of the hearing officer, conduct board member, or appeal administrator;

(c) Harassment and/or intimidation of a hearing officer, conduct board member, or appeal administrator prior to, during, and/or after a student conduct proceeding; or

(d) Influencing or attempting to influence another person to commit an abuse of the conduct system.

10.7 Drug Violations

(a) Illegal possession or use of controlled substances as defined by the North Carolina General Statutes § 90-86 through § 90-113.8;

(b) Manufacturing, selling, or delivering any controlled substance or possession with intent to manufacture, sell or deliver any controlled substance;

(c) Misuse of any legal pharmaceutical drugs;

(d) Knowingly breathe or inhale any substance for the unlawful purpose of inducing a condition of intoxication; or

(e) Possession of drug-related paraphernalia, including but not limited to, pipes, bongs, hookahs and other water pipes.
Further information regarding drug violations is discussed in NCSU POL.04.20.05 - Illegal Drugs and through UNC Policy Manual 1300.1 – Illegal Drugs.

10.8 Failure to Comply

(a) Failing to comply with the directions of University employees, including University Police in performance of their duties;

(b) Failing to submit identification upon request to duly authorized and properly identified University officials; or

(c) Failing to comply with the sanctions imposed under this Code.

10.9 Fireworks

Unauthorized possession or use of fireworks or explosive device on University premises.

10.10 Hazing

Causing or permitting a person, incident to initiation into or membership in a society, club, athletic team, or similar group or organization, to participate in any activity that subjects or is likely to subject that person or others to risks of physical injury, mental distress, or personal indignities, or which destroys or removes public or private property, whether or not such person has consented to participation in the activity. Silent participation or acquiescence in the presence of hazing are not neutral acts; they are violations of this section.

10.11 Harassment

(a) No student shall threaten, coerce, harass or intimidate another person or identifiable group of persons, based upon the person’s membership in a protected class as prescribed in NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy); or

(b) No student shall engage in harassment as defined by NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy). Charges of sexual harassment are covered separately under section 10.14 of this policy, that creates a hostile environment. Harassment that creates a hostile educational environment includes conduct that is

(i) Directed toward a particular person or persons;

(ii) Based upon the person’s membership in a protected class;

(iii) Severe or pervasive;

(iv) Objectively offensive; and
(v) So unreasonably interferes with the target person’s employment, academic pursuits, or ability to participate in University programs or University-sponsored activities as to effectively deny equal access to the University’s resources and opportunities.

In determining whether student conduct violates these provisions, all relevant facts and circumstances shall be considered. Care must be exercised in order to preserve freedoms of speech and expression, as articulated in current legal standards. Advice should be sought from the Office of General Counsel and the Office of Institutional Equity and Diversity, as appropriate.

10.12- Infliction or Threat of Bodily Harm

(a) Inflicting physical injury upon another person;

(b) Placing a person in fear of, or at risk of, physical injury or danger;

(c) Intentionally or recklessly causing any acting in a manner that creates a substantial risk of bodily harm to another.

10.13- Providing False Information

(a) Intentionally initiating or causing to be initiated any known false report, warning or threat of fire, explosion or other emergency;

(b) Forgery, alteration, or misuse of any University document, records, or instrument of identification;

(c) Furnishing false information, oral or written, to any University official, faculty or staff member, or office; or

(d) Possession or use of an instrument of identification that is not one’s own or is fictitious or altered.

10.14 Relationship Violence

Conduct arising out of a personal, intimate relationship that:

(a) Inflicts physical injury upon another person; or

(b) Places another in fear of, or at risk of, physical injury or danger;

10.145 -Sexual Misconduct
(a) Deliberate touching of another person’s sexual parts, or clothing covering them, without consent or the touching of another person with one’s sexual parts without consent. Sexual Harassment, as defined in NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy) based on sex. Sexual harassment may include, for example, unwelcome sexual advances and sexual favors. Sexual harassment also includes acts of sexual violence.

(b) Deliberate sexual invasion of another person without consent. Sexual Exploitation, which is taking sexual advantage of another person without consent, and includes, but is not limited to, causing or attempting to cause the incapacitation of another person in order to gain a sexual advantage over the other person; causing the prostitution of another person; recording, photographing or transmitting identifiable images of private sexual activity and/or the intimate parts (including genitalia, groin, breasts or buttocks) of another person; and allowing third parties to observe private sexual acts.

(c) Deliberate constraint or incapacitation of another person, without that person’s knowledge or consent, so as to put another person at substantially increased risk of sexual assault; or Sexual Contact (without consent), which is the deliberate touching of a person’s intimate parts (including genitalia, groin, breast or buttocks) or clothing covering any of those areas or the deliberate touching of another person with one’s intimate parts of the person or using force to cause a person to touch his/her own or another person’s intimate parts.

(d) Sexual Intercourse (without consent), which is the penetration (anal, oral or vaginal) of a person by a penis, tongue, finger or an inanimate object. Exploitation or coercion of another person without consent; or

(e) Retaliation (including threats, harassment, intimidation, coercion) against a person because he/she filed a complaint alleging sexual misconduct or participated in an investigation or procedure involving charges of sexual misconduct.

10.156 - Stalking

(a) Engaging in a course of conduct directed at a specific person without legal purpose and the individual engaging in that conduct knows or should know that the course of conduct would cause a person to:

(i) Fear for the person’s safety or the safety of the person’s immediate family or close friends; or

(ii) Suffer substantial emotional distress by placing that person in fear of death or bodily injury.

(b) Using any words or language in an electronic communication that threatens to inflict bodily harm to any person or to any member of the person’s family or household, or physical injury to the property of any person, or for the purpose of extorting money or other things of value from any person;

(c) Electronically communicating to another repeatedly, whether or not a conversation ensues, for the purpose of abusing, annoying, threatening, terrifying, or embarrassing any person; or
(d) Electronically communicating to another and to knowingly make false statement concerning death, injury, illness, disfigurement, indecent conduct, or of any member of the person’s family or household with the intent to abuse, annoy, threaten, terrify, or embarrass.

10.16–17 Theft

(a) Theft or attempted theft of another’s property, money or services;

(b) Knowingly possessing, purchasing, or exchanging stolen or embezzled property, money or services;

(c) Unauthorized use or access to private or confidential information in any medium; or

(d) Unauthorized possession, duplication, or use of keys or card access to any University premises.

10.17–18 Trespass

Unauthorized entry to University premises, including intruding upon, forcibly entering, or otherwise proceeding into unauthorized areas of University premises, or the residential space of another without permission.

10.18–19 Unauthorized Use of Property

Attempted or actual use of property of NC State, property of a University community member, or other personal or public property without proper authorization, or in a manner for which the property was not intended.

10.19–20 Violation of University Policies, Regulations, or Rules

Violation of any written policies, regulations, or rules of the University, as adopted by the University and as may be amended from time to time.

10.20–21 Weapons

(a) Illegal or unauthorized possession of weapons on University premises or at University-sponsored activities; or

(b) Possession or use of weapons in any manner that harms, threatens, or causes fear to others.

11. SANCTIONS

Sanctions in this section result in the creation of a disciplinary file for individuals or groups. Sanctions are imposed to:
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(a) Define a student or organization’s status at the University following a finding of responsible for a violation;

(b) Serve as a clear statement about University standards and expectations;

(c) Educate students on the effects of their behavior; and

(d) Attempt to affect a change in that behavior in the future.

Misconduct that involves substantial theft or fraud, significant physical damage to property, sexual misconduct, substantial physical, emotional or mental damage to persons, committed at least in part because of the victim’s membership in a protected class, or actions that create a substantial risk of bodily harm may result in suspension or expulsion from the University. Sanctions for drug-related misconduct are governed by NCSU POL.04.20.05 - Illegal Drugs.

Mitigating or aggravating factors or circumstances affecting sanctions shall be considered prior to imposing a sanction. Factors to be considered may include, but are not limited to: a student’s demonstration of insight for their misconduct, present demeanor and attitude, past disciplinary record of the student, community service or assistance related to the misconduct, the nature of the misconduct, as well as the degree of any damage, injury, or harm resulting from it. The Office of Student Conduct may upon initial review of the charges and accompanying narrative determine whether, if proved, the misconduct could result in sanctions of suspension or expulsion and schedule a hearing accordingly.

One or more of the sanctions listed below may be imposed for non-academic misconduct:

11.1 Written Warning

A Written Warning is a disciplinary reprimand that serves as notice that continuation or repetition of prohibited conduct may be cause for additional disciplinary actions.

11.2 Disciplinary Probation

Disciplinary Probation is a pre-suspension status. A student may be placed on disciplinary probation for a period no less than the remainder of the current semester up to the remainder of his or her academic career. If found responsible for a violation while on disciplinary probation, a student may face more severe sanctions up to and including suspension or expulsion.

11.3 Suspension

Suspension is a separation from the University for a specified period of time after which the student may be eligible to return. While suspended, the student shall not participate in any University-sponsored activity and will be trespassed from University premises. Exceptions to this trespass may be granted by the Provost based on the written petition of the student and for good cause. The student’s name will be included in the UNC System database for
suspended/expelled students. In cases where the student will complete graduation requirement during the current semester, suspension is to take effect immediately. In cases where a student will complete graduation requirements in either summer session I or II, the suspension period will include both summer sessions. Notations of the suspension will appear on the student’s transcript. Suspension notations on transcripts may be removed at a later date upon student petition to the Provost. However, a disciplinary file indicating suspension will be maintained by the Office of Student Conduct on a permanent basis.

11.4 Expulsion

Expulsion is a recommendation that must be approved by the Provost and is a permanent separation of the student from the University, unless at a later date the Chancellor concludes on the basis of the former student’s petition and any supportive documentation that he or she should be approved for reinstatement at NC State. When expelled, the student shall no longer participate in any University-sponsored activity and will be trespassed from University premises. A disciplinary file indicating expulsion will be maintained by the Office of Student Conduct and will result in a permanent transcript notation. The student’s name will be included in the UNC System database for suspended/expelled students. Expulsion precludes enrollment at any UNC constituent institution.

11.5 Disciplinary Eviction

Disciplinary Eviction is the removal of the student from any University housing. Eviction may be for a period no less than the remainder of the current semester up to the remainder of the student’s academic career, at the discretion of the Director, University Housing. All costs incidental to eviction are the responsibility of the student. Students subject to eviction will be trespassed from entering all University housing.

11.6 Restriction of Privileges

Restriction of privileges may be applied when the student’s violation(s) are related to the benefit that one receives as a student at NC State. Examples of privileges that may be restricted include, but are not limited to: attendance at University athletic events, use of Carmichael Gymnasium Complex, visitation in University housing, or participation in intercollegiate athletic events. Some exceptions may be made to ensure access to primary University services such as food services, health care, or academic resources.

11.7 Additional Sanctions

Additional sanctions not specifically listed above may be imposed. Such sanctions, where appropriate, may include but are not limited to: service or research projects, required counseling, participation in special educational programs, restitution for damage to or destruction of property, relocation to another room or residence with coordination of appropriate University staff, behavioral contracts, trespass or no contact orders, etc. Additional group or organizational sanctions may include revocation or denial of registration or recognition.
12. EXTRAORDINARY INTERVENTION INTERIM ACTIONS

At certain times, in certain circumstances, NC State may take immediate interim action to safeguard the University community before a student conduct process begins or is completed. These interim actions may be imposed effective immediately, without prior notice, when, in the University’s judgment, there is a need to implement an individualized response based on the status of the student, the seriousness of the alleged violation(s) of the Code and/or the potential for significant ongoing threat or disruption or threat to the University community, evidence that the continued presence of the student on University campus and/or in University Housing poses a substantial threat. The University may take immediate interim actions in the following instances:

12.1 Extraordinary Measure: Interim Suspension

An extraordinary measure in the form of an interim suspension is a diversion from the regular disciplinary process, but may be necessary to ensure the safety and well-being of the separate student from the campus community. Students subjected to an interim suspension will be accorded a hearing as provided for in the Procedures.

12.1.1 A student may be suspended on an interim basis, if, in the University’s judgment, credible information exists suggesting that the student:

(a) Poses a danger or disruptive, including placing another person in fear of imminent injury or danger to others; Poses an ongoing threat of disruption of, or interference with the normal operations of the university;

(b) Poses a threat of causing physical harm to others or of placing others in fear of imminent danger;

(bc) Has been charged by law enforcement with a serious crime or a violent or dangerous nature; Poses a threat of causing significant property damage;

(d) Has been charged with a violation of NCSU REG

(ec) Has been charged with a violation of NCSU POL04.20.05 - Illegal Drugs;

(ed) Poses a threat of causing significant property damage; or

(de) Substantially impedes the lawful activities of other members of the campus community, or the educational processes or proper activities or functions of the University or the functions of its personnel; or

(fe) Has been charged with sexual misconduct or relationship violence and there is a need to separate the respondent (accused student) and complainant (alleged victim).
12.1.2 A student may be suspended on an interim basis if the Director of Student Conduct concludes in his or her professional judgment, that the student is suffering from a mental, emotional, or psychological health disorder, and as a result of this disorder, the student has engaged in, or threatens to engage in, behavior which:

(a) Poses a significant danger or threat of causing physical harm to others or would place others in fear of imminent danger;

(b) Causes significant property damage; or

(c) Causes disruption of, or interference with the normal operations of the University or impedes the stability and continuance of normal University functions.

12.1.3 A student may be suspended on an interim basis, if, as a result of a mental disorder, a student is accused of a violation of the Code:

(a) Lacks the capacity to respond to pending disciplinary charges; or

(b) Did not know the nature or wrongfulness of the conduct at the time of the offense; or

(c) Poses a significant risk to the health or safety of others.

In these instances, the student will be diverted from the regular disciplinary process and suspended on an interim basis.

12.2 Other Interim Actions

The University may take interim actions other than suspension to ensure the safety and well-being of the campus community including, but not limited to, “no contact” orders, relocation in University housing, and adjustments to class schedules. Any interim actions taken may not be used as evidence to support charges under the Code.

13. INTERPRETATION AND REVIEW

13.1 Any question of interpretation or application of the Code of Student Conduct shall be referred to the Provost for final determination.

13.2 The Code of Student Conduct shall be reviewed every three (3) years under the direction of the Director, Office of Student Conduct and in consultation with other campus units as appropriate.
**PROPOSED REVISION TO:** POL04.25.05: Equal Opportunity and Non-Discrimination Policy

**Rationale:** Revisions 1) reflect recent changes in federal and state law, specifically incorporating recent guidance on Title IX and changes to NC General Statutes, 2) incorporates the language of NC State’s Affirmative Action Policy Statement (REG05.55.01), eliminating the need for a separate regulation, and 3) enhances the clarity of the policy and its definitions.

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1. POLICY STATEMENT

It is the policy of the State of North Carolina to provide equality of opportunity in education and employment for all students and employees. Educational and employment decisions should be based on factors that are germane to academic abilities or job performance. North Carolina State University ("NC State") strives to build and maintain an environment that supports and rewards individuals on the basis of relevant factors such as ability, merit and performance. Accordingly, the North Carolina State University ("NC State") engages in equal opportunity and affirmative action efforts, and prohibits
discrimination, harassment, and retaliation, does not practice or condone unlawful discrimination in any form, as defined by this policy.¹

NC State hereby affirms its desire to maintain a work environment for all employees and an academic environment for all faculty members and students that is free from all forms of prohibited discrimination. NC State strives to build and maintain an environment that supports and rewards individuals on the basis of such relevant factors as ability, merit and performance; the prohibited behaviors of discrimination, harassment and retaliation are incompatible with the values and goals of NC State.

1.2 Discrimination as defined in Section 3 is a violation of this policy and will not be tolerated by NC State.

2. RESPONSE TO PROHIBITED BEHAVIOR

2.1 NC State will respond promptly to all complaints of discrimination, harassment and retaliation. Violation of this policy can result in serious disciplinary action up to and including expulsion for students or discharge for employees.

2.2 Disciplinary action for violation of this policy will be the responsibility of the dean or director, supervisor, or Office of Student Conduct, as may be appropriate in accordance with applicable procedures.

3. DEFINITIONS

For purposes of this policy, the following definitions apply:

3.1 Discrimination is unfavorable treatment with regard to a term or condition of employment, or participation in an academic program or activity based upon age (40 or older), color, disability, gender identity, genetic information, national origin, race, religion, sex (including pregnancy), sexual orientation, or veteran status. Discrimination includes the denial of a request for a reasonable accommodation based upon disability or religion.

3.1.1 Discrimination is unequal and unlawful treatment based upon race, color, religion, creed, sex,² national origin, age, disability, or veteran status. Discrimination based on sexual orientation is also prohibited by this policy.³

¹ This policy reflects federal and state civil rights laws such as: Title VII of the Civil Rights Act, Title IX of the Education Amendments, the Americans with Disabilities Act, and the Age Discrimination in Employment Act, among others.

² The policy’s prohibition against discrimination on the basis of sex includes actual or perceived gender identity and gender expression.

³ NC State does not allow discrimination nor harassment on the basis of sexual orientation with respect to internal university matters that do not contravene federal or state law and that do not interfere with NC State’s
32.2 Harassment

3.2.1 Harassment is any unwelcome conduct based upon age (40 or older), race, disability, gender identity, genetic information, national origin, race, religion, creed, sex (including pregnancy), national origin, age, disability, veteran status, or sexual orientation, or veteran status that either 1) creates a quid pro quo situation, or 2) creates a hostile working or learning environment.

*Note: Incidents of sexual violence may constitute sexual HARASSMENT.

32.2.1.1 Quid Pro Quo Harassment occurs when submission to, or rejection of, unwelcome conduct (e.g., sexual advances, requests for sexual favors) by an individual is used such conduct is made either explicitly or implicitly a term or condition of an individual’s employment, as the basis for an employment decisions (for employees); or education decision (for students), academic advancement, or receipt of a needed or legitimately requested university service; or submission to or rejection of such conduct by an individual is used as the basis for decisions affecting such individual in matters of employment, employment decisions, academic advancement or receipt of a needed or legitimately requested university service. It can also occur when an individual believes that he or she must submit to the unwelcome conduct in order to avoid an adverse employment action or to secure a promotion (for employees) or to participate in school program or activity (for students).

*Note: Though QUID PRO QUO HARASSMENT typically involves conduct of a sexual nature, it can also result from unwelcome conduct of a religious nature. For example, a supervisor offers a subordinate employee a promotion if the employee joins the supervisor’s religion.

32.2.1.2 Hostile Environment Harassment occurs when unwelcome conduct based upon an individual’s age (40 or older), color, disability, gender identity, genetic information, national origin, race, religion, sex (including pregnancy), sexual orientation or veteran status is sufficiently severe or pervasive to:

(For Students):

- deny or limit a student’s ability to participate in or benefit from NC State’s programs or activities; or
- create an intimidating, threatening or abusive educational environment.

(For Employees):

- create an intimidating, hostile or offensive working environment.
A HOSTILE ENVIRONMENT is determined by looking at whether the conduct is objectively offensive (i.e., a reasonable person would find it to be) and subjectively offensive (i.e., the person who is the object of the unwelcome conduct finds it to be).

All relevant circumstances are examined as part of this determination, including but not limited to, the type of HARASSMENT (e.g. whether verbal, physical, electronic); the frequency of the conduct, the severity of the conduct, the protected group status and relationship of the individuals involved, whether the conduct was physically threatening or humiliating, whether the conduct unreasonably interfered with work performance (for employees) or academic performance (for students). When sufficiently severe, a single instance of unwelcome conduct (e.g., sexual assault) may constitute HOSTILE ENVIRONMENT HARASSMENT.

both a reasonable person would find the conduct hostile or abusive and the person who is the object of the conduct perceives the conduct to be hostile or abusive. A hostile environment is determined by looking at all of the circumstances, including the frequency of the conduct, the severity of the conduct, and whether the conduct unreasonably interferes with one’s work or academic performance.

3.3.3 Retaliation

3.3.1 Retaliation is any adverse action (including intimidation, threats or coercion) against a covered individual because that individual engaged in a protected activity.

3.3.1.12.4 “Protected activity” includes:

1. opposing a practice believed to be a violation of this policy;
2. participating in an investigation, proceeding or hearing involving intended to resolve a violation of this policy; or
3. requesting a reasonable accommodation based on disability or religion.

3. COMPLAINTS

NC State will promptly, thoroughly and impartially respond to all complaints of DISCRIMINATION, HARASSMENT and RETALIATION.

Any individual with a complaint of DISCRIMINATION, HARASSMENT or RETALIATION should follow NCSU REG 04.25.02 (Discrimination, Harassment and Retaliation Complaint Procedure).

4. POLICY VIOLATIONS OF POLICY and CORRECTIVE MEASURES

4.1 Any individual with a concern, grievance or complaint of discrimination, harassment or retaliation should use the procedures outlined in the Resolution Procedures for
Discrimination, Harassment and Retaliation Complaints. Substantiated instances of DISCRIMINATION, HARASSMENT and RETALIATION, as defined above, are violations of this policy and will not be tolerated by NC State.

Appropriate corrective measures will be instituted for violations of this policy. Such corrective measures will be designed to stop the DISCRIMINATION, HARASSMENT and/or RETALIATION and to prevent future violations. Corrective measures may involve disciplinary action up to and including expulsion (for students) or discharge (for employees).

Disciplinary action for a violation of this policy will be the responsibility of the Office of Student Conduct (for students) and appropriate administrator (i.e. vice chancellor, dean, director, supervisor, etc.) (for employees), in accordance with applicable disciplinary procedures for students or employees.

5. AFFIRMATIVE ACTION

In addition to prohibiting DISCRIMINATION, HARASSMENT and RETALIATION, NC State works toward the full realization of equal opportunity through a continuing affirmative action program, in compliance with applicable federal and state laws.

Development of the university’s affirmative action plan, called the Equal Employment Opportunity Plan (EEO Plan) at NC State, is assigned to the vice provost for institutional equity and diversity, who serves as the university’s Affirmative Action Officer.

The head of each administrative/academic unit identified in the EEO Plan, and subunits as identified by the Affirmative Action Officer, shall be responsible for working with the Affirmative Action Officer to implement the requirements of the EEO Plan.

6. STATEMENT FOR PROGRAMS/PUBLICITY

The following statement may be used for programmatic or publicity purposes at NC State:

NC State University promotes equal opportunity and prohibits discrimination and harassment based upon one’s age, color, disability, gender identity, genetic information, national origin, race, religion, sex (including pregnancy), sexual orientation and veteran status.

7. RESOURCES

Questions concerning this policy may be referred to the Office for Institutional Equity & Diversity.
PROPOSED REVISION TO: POL.04.20.06: Interpersonal Relationships Policy

**Rationale:** Revisions are intended to 1) remove superfluous language for clarity; 2) include a prohibition on abusing one’s authority for non-academic and non-employment related requests, and 3) introduce the requirement of a “conflict management plan.”

**Consultation Process:**

- **8/26/13** Provost authorizes transmittal of PRR for review
- **8/22/13** General Counsel preliminary review
  - Faculty Senate review
  - Staff Senate review
  - General Counsel final review, if changes have been made
  - EOM, or official with delegated authority to review PRR
  - University Council (recommendation/notification), if applicable
  - Board of Trustees (approval/notification), if applicable
1. INTRODUCTION

1.1 At the heart of the University experience is the interaction among faculty, staff and students. Interactions among members of the University community can and should be the occasion for enhancing freedom, demonstrating integrity and encouraging mutual respect. This policy serves to further these goals and to uphold the University’s high standards of professional and ethical conduct, specifically with respect to interpersonal relationships. The intent of this policy is to provide assurance that all students and employees are able to learn or work in an environment where they can be objectively supervised, instructed, or evaluated.

This policy defines the types of interpersonal relationships among faculty, staff and students that by their very existence create an inherent conflict of interest that affects a student or employee’s ability to be objectively supervised, instructed or evaluated. This policy also proscribes appropriate and inappropriate conduct with respect to interpersonal relationships...
among faculty, staff, and students including improper relationships between students and employees and employment of related persons (anti-nepotism) and provides for disciplinary action for policy violations.

2. DEFINITIONS

2.1 Amorous Relationship

A relationship when, without the benefit of marriage, two persons voluntarily have a sexual union, or engage in a romantic partnering or courtship that may or may not have been consummated sexually. Relationpartnership (i.e., dating, engaged, sexually intimate).

2.2 Related Persons

A relationship between two related persons. For purposes of this policy, “related persons’ includes:

Persons who are related as: to another as parent/child, grandparent/grandchild, husband/wife, brother/sister, aunt/uncle, niece/nephew, first cousin, and domestic partner. Also included as related persons are the step, half and in-law relationships as appropriate based on the above listing as well as guardian/ward and anyone living in the same household or whose relationship is so closely identified with another as to suggest a conflict. In cases of related persons other than blood relatives, the policy continues to apply after the termination of the relationship until such time as there is no effect upon impartiality.

Persons who are related as:

- Husband/Wife;
- Domestic Partner;
- Parent/Child;
- Brother/Sister;
- Grandparent/Grandchild;
- Aunt/Uncle and Niece/Nephew;
- First Cousins;
- Guardian/Ward;
- Anyone living in the same household or whose relationship is so closely identified with another as to suggest a conflict, or
- Ex-, Step-, Half-, and In-Law relationships as appropriate based on the above list.

The prohibited conduct in this policy applicable to familial relationships shall continue to apply after the termination of the relationship (i.e., divorce) until such time as there is no effect upon impartiality.

2.2.1 Familial Relationship
A relationship between two related persons.

2.3 Educational Responsibility

Responsibility that includes, but is not limited to, teaching a course; directing an independent study, thesis, or dissertation; participating on a graduate advisory committee; employing a teaching or research assistant; making decisions regarding grades, honors, or degrees; considering disciplinary action for a student; or any other action that assesses, determines, or influences academic performance, progress, or potential.

2.4 Employment-Related Decision

A decision that includes, but is not limited to, one relating to the search, selection, or appointment of an individual to employment; establishing the terms and conditions of employment; establishing compensation; evaluating work performance; voting for or otherwise considering reappointment, promotion, or tenure; issuing disciplinary action; or any other action that assesses, determines, or influences work performance, career progress, or other employment status.

3. PROHIBITED CONDUCT

The prohibited conduct in this section shall be considered misconduct subject to disciplinary action.

3.1 Improper Relationships with Students

Students look to faculty members and other members of the University who serve in leadership or mentor roles for guidance and depend upon them for advice, assessment and advancement. An amorous relationship or familial relationship between a student and either a faculty member, graduate assistant, or other University employee who has evaluative or supervisory responsibility for that student can impair or undermine the ongoing trust needed for effective teaching, learning and professional development. Both the fact and semblance of any exploitation must be avoided because such relationships raise concerns about consent and fair treatment of students. Therefore, it is misconduct, subject to disciplinary action, for a member of the University community to engage in an amorous relationship with any enrolled student for whom an employee has any instructional, research, administrative or other University employment responsibility, or authority to evaluate, supervise, or otherwise have educational responsibility for. Additionally, it is misconduct, subject to disciplinary action, for an employee, incident to any instructional, research, administrative or other University employment responsibility, or authority to evaluate, supervise, or otherwise have or share educational responsibility for any enrolled student enrolled at NC State with whom the employee has an amorous or familial relationship. The fact and semblance of a relationship that violates this section must be avoided.
3.1.2 A University employee shall not engage in sexual activity with any student enrolled at NC State (other than his or her spouse) who is a minor under the age of 18.

3.1.1 Sexual Activity with a Minor

It is misconduct, subject to disciplinary action, for any University employee to engage in sexual activity with any enrolled student of the Institution, other than his or her spouse, who is a minor as defined by North Carolina law.

3.2 Relationships with Employment Decisionmakers

Standards for the selection, compensation, promotion, discipline and other terms and conditions of University employees are based on an employee's qualifications, ability, performance, and conduct. Employees look to their superiors for guidance and depend upon them for coaching, evaluation and career advancement. An amorous relationship or familial relationship between two employees, in which one employee may make an employment-related decision that directly affects the other, can impair or undermine the ongoing trust needed for effective departmental operation and individual professional development. Both the fact and semblance of any exploitation must be avoided because these relationships raise concerns about consent and fair treatment of employees. Therefore, it is misconduct, subject to disciplinary action, for a University employee, either individually or as a member of a group or committee, to participate in or make any decisions for a member of the university community over that will directly affect an employee with whom he or she has an amorous or familial relationship or for an employee with whom he or she has an amorous or familial relationship. The fact and the semblance of a relationship that violates this section must be avoided.

3.3 Academic or Job-Related Requests

It is misconduct for a member of the university community, one who is in a position of authority, to make requests of a subordinate employee or student to perform a task or duty that is unrelated to the student's academic program or to the employee's job responsibilities and that would be of personal benefit to the University employee or job responsibilities.

4. DUTY TO DISCLOSE ILLINARY ACTION

The inherent fact or semblance of a conflict of interest created by an amorous or familial relationship should be disclosed in order to avoid a potential violation of this policy.

4.1 New Employee / Student
Upon hire (new employee) or academic enrollment (student), an individual has a duty to disclose the conflict of interest by contacting the Office for Institutional Equity and Diversity (OIED).

4.2 Change in Status

A change in an individual’s status (i.e. employment, academic, relationship) that would establish a potential violation of this section (where one did not exist previously) creates a duty to disclose the conflict of interest by contacting the OIED. For example, an employment action (e.g., new hire, promotion, position reclassification, reassignment of job responsibilities) or a decision of two employees to begin dating may result in a potential violation.

4.3 Failure to disclose a conflict of interest or failure to disclose in a timely manner shall constitute a violation of this policy.

5. CONFLICT MANAGEMENT PLAN

Upon appropriate disclosure pursuant to section 4 and as appropriate, the OIED will oversee the development, approval and monitoring of a conflict management plan to avoid a policy violation. Failure to adhere to an approved conflict management plan shall constitute a violation of this policy.

If disciplinary action is brought against a University employee for violations of this policy may be subject to disciplinary action. Such disciplinary action shall be conducted in accordance with existing University policies and procedures for pursuing disciplinary action against members of the category of employees of which the affected employee is a member.

56. DISCIPLINARY ACTION REPORTING CONFLICTS OR POTENTIAL CONFLICTS OF THE POLICY

Violations of this policy will be subject to disciplinary action up to and including dismissal. Such disciplinary action shall be conducted in accordance with existing University policies and procedures. Individuals engaged in an interpersonal relationship that violates or may violate this policy are required to contact the Office for Equal Opportunity. The Office for Equal Opportunity will make the appropriate referral for development of a conflict management plan. Development of a conflict management plan is required not only upon hire or academic enrollment, but at any time there is a change in status exposing individuals to a violation of this policy.

567. RESOURCES

Questions concerning this policy may be referred to the OIED, Office for Equal Opportunity, Institutional Equity and Diversity, Employee Relations – Human Resources, or
the Office of General Counsel. In addition, please see the accompanying “Guidelines for Avoiding Improper Relationships” available through aforementioned offices.
1. INTRODUCTION
This policy is adopted pursuant to UNC Code Chapter VI - Academic Freedom and Tenure (The Code). It addresses the following:

2. DEFINITIONS OF ACADEMIC TENURE AND PERMANENT TENURE
3. CHANCELLOR’S AUTHORITY
4. TENURE TRACK FACULTY QUALIFICATIONS FOR RANK AND INITIAL APPOINTMENTS
5. STANDARDS FOR APPOINTMENT, REAPPOINTMENT, PROMOTION AND CONFERRAL OF TENURE
6. PROCEDURES FOR INITIAL APPOINTMENT
7. PROCEDURES FOR REAPPOINTMENT, PROMOTION AND CONFERRAL OF TENURE
8. IMPOSITION OF SERIOUS SANCTIONS
9. SEPARATION OF FACULTY EMPLOYMENT

This policy and provisions of UNC Code Chapter VI - Academic Freedom and Tenure, as amended from time to time, constitute the tenure policies and regulations of North Carolina State University (hereinafter referred to as the university or NC State). This policy shall be cited in appointment and reappointment letters sent to individual faculty members.

1.1 The university incorporates as part of this policy the principles of freedom and responsibility in the university community as set forth in Section 600 of The Code.

1.2 The university incorporates as part of this policy the rights and responsibilities of the faculty under the principles of academic freedom as set forth in Section 601 of The Code.

1.3 The university may designate non-tenure track faculty as set forth in Section 610 of The Code. Non-tenure track ranks, contracts and subsequent contracts are addressed in NCSU REG05.20.34 – Non-Tenure Track Faculty Ranks and Appointments.

2. DEFINITIONS OF ACADEMIC TENURE AND PERMANENT TENURE

2.1 Academic Tenure

The purpose of academic tenure is to promote and protect the academic freedom of the faculty. It also assists the university in attracting and retaining faculty members of high quality. Academic tenure refers to the conditions and guarantees that apply to a faculty member's employment, in particular the protection from discharge from, or termination of, employment, and from imposition of serious sanctions on a faculty member, except upon grounds and in accordance with sections 8 and 9 of this policy. Academic tenure applies exclusively to faculty with permanent tenure, faculty on probationary (tenure-track) appointments and faculty with fixed term appointments as further described in NCSU REG05.20.34 – Non-Tenure Track Faculty Ranks and Appointments.

2.2 Permanent Tenure
Permanent tenure ("appointment with tenure" or "tenured appointment") is academic tenure conferred upon faculty with appointments that are continuous until retirement, resignation or death. Permanent tenure may be conferred only pursuant to this policy and by action of the President and the Board of Governors of the University of North Carolina, or by such other agencies or officers as may be delegated such authority by the Board of Governors. Hereinafter, all references to tenure shall mean permanent tenure.

2.3 In all instances, the tenure conferred on a faculty member is held with reference to employment by NC State, rather than to employment by the University of North Carolina (UNC Code Section 602).

3. CHANCELLOR’S AUTHORITY

3.1 The Chancellor or Chancellor’s designee shall have approval authority for faculty appointments, reappointments, promotions, and conferrals of tenure, consistent with NCSU REG01.20.01 - Delegations of Authority for Appointments, Compensation and Other Personnel Actions for Employees Exempt from the State Personnel Act (EPA) and subject to further approvals as required by Section 602(5) of The Code and UNC Policy Manual Section 600.3.4.

3.2 Upon receiving recommendations for the conferral of tenure from the Provost, the Chancellor will forward his recommendations to the University Affairs Committee of the Board of Trustees for final approval.

3.3 Upon receiving recommendations for promotions from the Provost, the Chancellor has responsibility for final approval of promotions.

4. TENURE TRACK FACULTY QUALIFICATIONS FOR RANK AND INITIAL APPOINTMENTS

Qualifications for academic rank shall be determined by the Chancellor upon recommendations from the Faculty Senate and the University Council and are set forth here.

Tenure-track faculty appointments are those to which consideration for permanent tenure applies and for which there is an established time frame during which a decision to reappoint or confer tenure must be made, as provided in the following sub-sections.

In addition to qualifications required for academic rank, NC State has published guidelines for the credentials required for faculty teaching at all course levels. For faculty who teach, departments must have documentation that each faculty member is qualified to teach the course, either based on degrees attained or alternative credentials. For these guidelines and instructions on how to document credentials, see “Documenting Compliance with SACS and University Qualifications for Teaching Assignments” on the Office of the Provost’s website.

4.1 Instructors
Appointment to the rank of Instructor is appropriate for an individual who has been selected for a tenure-track appointment at NC State but has not yet completed the required terminal degree. An Instructor shall be appointed for an initial probationary term of one (1) year and may be reappointed to one (1) additional probationary one (1) year term.

4.1.1 Upon award of the required degree or prior to the end of the second probationary one (1) year term, whichever comes first, the Department Head, after consultation according to the procedures set forth in section 6.2 of this policy, shall review the Instructor’s performance and recommend to the Dean either 1) that the Instructor be appointed to an appropriate term as Assistant Professor in accordance with section 4.2 or 2) that the instructor’s appointment end on the current contract end date.

4.1.2 Minimum Required Qualifications

4.1.2.1 Ability or potential in the mutually agreed upon realms of responsibility.

4.1.2.2 A master's degree, an equivalent degree, or equivalent professional experience.

4.2 Assistant Professors

Appointment to the rank of Assistant Professor is the entry-level professorial appointment. An Assistant Professor shall be appointed for an initial probationary term of four (4) years. In cases where the appointment occurs prior to or subsequent to the start of the regular academic or fiscal year, the initial probationary term may be adjusted to coincide with the appropriate reappointment, promotion and tenure cycle, but shall not result in an initial term of fewer than three (3) years or greater than four (4) years and six (6) months, with an end date of May 15 for academic year contracts or June 30 for fiscal year contracts.

4.2.1 Before the end of the third year of the initial term (in order to allow at least 12 months notice should the decision be not to reappoint), the Department Head (or equivalent designee), after consultation with the Departmental Voting Faculty (DVF) as set forth in section 7.2.1 of this policy, shall review the Assistant Professor's performance and recommend to the Dean either 1) that the Assistant Professor be reappointed for a second term of three (3) years which is appended to the initial four (4) year term, or 2) that the Assistant Professor not be reappointed.

4.2.2 If the Assistant Professor is appointed to a second term under section 7 then before the end of the second year of that appointment (in order to allow for 12 months notice in case of termination), the Department Head and Dean (or equivalent designees), after consultation according to the procedures set forth in section 7 of this policy, shall each review the Assistant Professor’s performance and recommend to the Provost either 1) that the Assistant Professor be promoted with tenure or 2) that upon the expiration of the term of appointment the Assistant Professor not be reappointed. In the case of a decision not to promote and confer tenure, the Dean may recommend, and the Provost may approve, a recommendation and decision during the remaining term of the appointment, to promote and confer tenure based upon new information documenting required performance representing a significant change in the status of information included in the dossier that was the basis for the denial of promotion and non-conferral of tenure.
4.2.3 The decision and notification regarding conferral of tenure shall not be postponed beyond the eighth year of service (including any approved extensions) from the first appointment as Assistant Professor. In extraordinary circumstances, the Chancellor may approve postponing the decision and notification regarding conferral of tenure beyond the eighth year of service.

4.2.4 Minimum Required Qualifications

4.2.4.1 Ability or definite promise in the mutually agreed upon realms of responsibility.

4.2.4.2 Potential for directing activities in the mutually agreed upon realms of responsibility.

4.2.4.3 Ability and willingness to participate in department, college and university affairs.

4.2.4.4 A doctor's degree, an equivalent degree, or equivalent professional experience.

4.3 Associate Professors

An Associate Professor promoted to that rank by the university shall have tenure.

4.3.1 An Associate Professor coming to that rank from outside the university may either be appointed with tenure or for one (1) probationary appointment not to exceed five (5) years. In cases where the appointment occurs prior to or subsequent to the start of the normal academic or fiscal year, the initial probationary term must be adjusted to coincide with the appropriate reappointment, promotion and tenure cycle, but shall not result in an initial term of fewer than three (3) years and six (6) months or greater than five (5) years, with an end date of May 15 or June 30.

In the case of a probationary appointment, before the end of the next-to-last year of the appointment, the Department Head and Dean (or equivalent designees), after consultation according to the procedures set forth in section 7, shall each review the associate professor's performance and recommend to the Provost either 1) that the Associate Professor be reappointed with tenure at the same or higher rank or 2) that upon the expiration of the term of appointment the Associate Professor not be reappointed. If the review and decision for conferral of tenure is carried out prior to the next-to-last year of the appointment, it will not be considered an early action (i.e. before the mandatory review date).

4.3.2 In the case of a decision not to promote and confer tenure, the Dean may recommend and the Provost may approve a recommendation and decision during the remaining term of the appointment to confer tenure based upon new information documenting required performance representing a significant change in the status of information included in the dossier that was the basis for the denial of promotion and non-conferral of tenure.

4.3.3 Minimum Required Qualifications

4.3.3.1 Recognized ability and potential for distinction in the mutually agreed upon realms of responsibility.
4.3.3.2 Demonstrated ability to direct activities in the mutually agreed upon realms of responsibility.

4.3.3.3 Demonstrated ability and willingness to participate in department, college and university affairs.

4.3.3.4 A doctor's degree, an equivalent degree, or equivalent professional experience.

4.4 Professors

A professor shall have tenure, whether promoted to that rank by the university or hired from outside the university.

4.4.1 Minimum Required Qualifications

4.4.1.1 Distinguished achievement in the mutually agreed upon realms of responsibility.

4.4.1.2 Demonstrated ability to direct activities in the mutually agreed upon realms of responsibility.

4.4.1.3 Established reputation in the individual's profession or field of scholarly or germane creative activity.

4.4.1.4 Demonstrated ability and willingness to participate in department, college and university affairs.

4.4.1.5 A doctor's degree, an equivalent degree, or equivalent professional experience.

4.5 Exceptions to Terms

4.5.1 If exceptional circumstances warrant, this policy shall not preclude promotion or the conferral of tenure according to a time frame different from that set forth in sections 4.2 and 4.3.

4.5.2 The Chancellor or Chancellor’s designee (the Provost) may grant an untenured faculty member an extension of the time period during which the institutional decision must be made regarding reappointment or conferral of tenure in cases of compelling circumstances. The normal extension is one (1) year; however, other extensions may be approved in exceptional cases. Approval of an extension must be in writing and will extend the term of the current appointment.

4.5.3 A faculty member will be awarded an automatic extension in cases of a new child in the family by birth, adoption or placement of a foster child or of approved family medical leave of sixty (60) calendar days or longer.

4.5.4 If not an automatic extension, a faculty member must request an extension in accordance with procedures established by the Chancellor or Chancellor's designee (the Provost) in NCSU REG05.20.31 - Tenure Clock.
4.5.5 For a faculty member who does not hold permanent U.S. residency status, tenure shall be contingent upon the individual having filed for permanent U.S. residency, and either being granted permanent U.S. residency or remaining in a valid immigration status continuously until permanent U.S. residency is granted.

5. STANDARDS FOR APPOINTMENT, REAPPOINTMENT, PROMOTION, AND CONFERRAL OF TENURE

NC State values, above all, excellence and distinction in creative scholarship that facilitates the increase and diffusion of knowledge, wisdom, and the moral dimensions of intelligence.

5.1 General Standards

The general standards upon which appointment, reappointment, promotion, and conferral of tenure are to be recommended include an assessment of at least the following: demonstrated professional competence in the appropriate mix of the realms of responsibility (see 5.2) as defined by each academic unit's Reappointment, Promotion and Tenure Standards and Procedures rule and agreed upon in each faculty member's Statement of Mutual Expectations; potential for future contributions; and service to the university, the academic community, and society. The individual's contributions shall be considered in a manner that is appropriate to each individual appointment, and recommendations shall be consistent with the needs and resources of the university.

5.2 Faculty Goals and Realms of Responsibility

Creative scholarship in all of the following six (6) realms of faculty responsibility is valued and rewarded by NC State. Scholarly contributions in an appropriate mix of these six (6) realms must be -- both in fact and in faculty perceptions -- the principal criteria for decisions about faculty reappointment, promotion, and tenure. The nature of the "appropriate" mix is defined by each academic unit's Reappointment, Promotion and Tenure rule and agreed upon in each faculty member's Statement of Mutual Expectations.

5.2.1 Teaching and Mentoring of Undergraduate and Graduate Students

Transmission of knowledge to students and the development of wisdom are two primary reasons universities exist. The goal is to develop students who can play effective and socially constructive roles in a wide variety of institutions and endeavors and who can understand their service in a global and societal context. Knowledge, insights, and understanding are transmitted through disciplinary, interdisciplinary, and multidisciplinary learning.

5.2.2 Discovery of Knowledge through Discipline-Guided Inquiry

Such inquiry involves inductive and deductive reasoning; qualitative and quantitative methodologies; hypotheses and propositions; measurements; accumulation of evidence; analysis and argument; interpretation and evaluation; and communication/publication of findings, concepts, and conclusions. Basic research is inquiry aimed at understanding the world around
Applied research is inquiry aimed at enhancing the arts of teaching and learning, management of nature and human institutions, and developing practices and technologies useful to society. Discovery of knowledge can be achieved by working either as an individual or as part of a collaborative team.

5.2.3 Creative Artistry and Literature

Creative artistry involves the creation, production, interpretation, and evaluation of cultural artifacts that generate new insights and interpretations with the potential to inspire and advance the quality of life in society. Creative artistry can be expressed through literary, performing, fine, and applied arts.

5.2.4 Technological and Managerial Innovation

Technological innovation provides the means by which knowledge and imagination in the sciences, humanities, and creative arts can be harnessed to drive the economic and social systems of the state, nation, and world, and ultimately, provide new products, processes, and services.

5.2.5 Extension and Engagement with Constituencies outside the University

Engagement with people and organizational constituencies outside the university are the principal means by which NC State and other land-grant universities fulfill their unique mission. Accomplishments in extension and engagement represent an ongoing two-way interchange of knowledge, information, understanding, and services between the university and the state, nation, and world.

5.2.6 Service in Professional Societies and Service and Engagement within the University itself.

Complex research-extensive universities and discipline-focused scientific and professional societies simply do not work effectively, efficiently, or for long, without the dedicated and continuing investment of university faculty time and creative energy in the programs and governance of these organizations. Thus, service to and engagement within all parts of the university and its affiliated organizations, including professional scientific and literary associations is valued, appreciated, and rewarded by NC State.

6. PROCEDURES FOR INITIAL APPOINTMENT

6.1 Documentation

For initial appointments, the Department Head shall assemble documentation as appropriate.

6.2 Consultation

Decisions for appointment are dependent on substantive consultation with tenured faculty by Department Heads and Deans who are responsible for these decisions.
6.2.1 Departmental Consultation - It is the responsibility of the DVF to participate in this consultation at the departmental level. The DVF (defined in sections 6.2.2 and 6.2.3) shall have full access to the documentation prepared for each candidate and the opportunity and responsibility to meet as a group with the Department Head to consider the matter confidentially. In each case of initial appointment, a vote shall be taken either by secret ballot or open ballot, with the method of voting to be decided by a majority vote of the departmental voting faculty. Faculty members who cannot attend the meeting shall be permitted to vote in accordance with departmental rules.

6.2.2

a. For initial appointments, the DVF shall consist of tenured faculty of any rank. The DVF may consult with other departmental faculty prior to voting.

b. The membership of the DVF in departments that appoint faculty only on non-tenure track contracts may vary from the definition in section a. For these exceptions, see section 8.1.3 of REG05.20.34 Non-Tenure Track Ranks and Appointments.

6.2.3 If tenure is to be awarded with an initial appointment, a second vote is taken and recorded. The DVF for Associate Professors being hired with tenure includes all tenured Associate Professors and Professors. The DVF for Professors that must be hired with tenure includes all tenured Professors. If tenure is to be awarded with an initial joint or interdisciplinary appointment, approval will be based on input from appropriate faculty members outside the department as described in Sections 7.2.1.3 and 7.2.1.4.

6.3 Joint and Interdisciplinary Appointments

6.3.1 Joint Appointments.

a. In the case of joint appointments, in which portions of the faculty member’s salary come from more than one department, one department will be designated by the college dean(s) as the home department, usually the department with the higher percentage than the other appointing department(s), and will be responsible for appointment procedures. Based on agreement among the department heads and dean(s), the appointment will be approved by the home department with input from the DVF of the other appointing department(s).

b. At the time of the appointment and in consultation with the faculty member, the Department Heads shall develop a written plan for how annual reviews and reappointment, promotion, and tenure reviews will be conducted to ensure input from the appointing department(s). The plan will be shared with the DVF of each department and will be approved by the Dean(s) of the appointing departments.

c. The faculty member will be a DVF member in the home department when required rank and tenure are achieved. The DVF of other department(s) in the joint appointment will stipulate at appointment whether the faculty member will be a DVF member when required rank and tenure are achieved and whether he or she will have voting rights in other department affairs.
6.3.2. Interdisciplinary Appointments

a. In the case of an appointment in which the work of the appointee is expected to be substantively interdisciplinary, the head of the faculty member’s home department shall receive recommendations from tenured faculty of appropriate rank outside the department who are familiar with the interdisciplinary focus and activities of the faculty member, including the coordinators (s) of interdisciplinary program(s) to which the faculty member will be assigned. This may be achieved in either or two ways: (1) with input by appropriate interdisciplinary faculty members in the deliberations of the DVF or (2) by the Dean’s creation of an interdisciplinary search committee made up of faculty from the home department and appropriate interdisciplinary faculty members to recommend the appointment.

b. At the time of the appointment and in consultation with the faculty member and the coordinators (s) of interdisciplinary program(s) to which the faculty member will be assigned, the Department Head shall develop a written plan for conducting annual reviews and reappointment, promotion, and tenure reviews that include input from faculty outside the department who are familiar with the interdisciplinary focus and activities of the faculty member. This plan will be shared with the DVF and approved by the Dean and, if the appointment is in more than one college, by the Provost.

6.4 Recommendations and Decisions

6.4.1 Recommendation of Department Head

In the case of an initial appointment at any rank and tenure status, the Department Head shall make a recommendation to the Dean and report the vote of the DVF as described in section 6.2.1. Joint appointees can only vote on initial appointments in their home department.

6.4.2 Dean’s Decision and Recommendation

In the case of an initial appointment of a tenure-track faculty member, the Dean’s decision is final.

If tenure is to be conferred with initial appointment, the Dean shall provide to the Provost the vote of the DVF for appointment, the vote of the DVF for tenure (including input from outside the home department for joint and interdisciplinary appointments), the Department Head’s recommendation and Dean’s recommendation.

6.5 Provost’s Recommendation

If tenure is to be conferred with initial appointment, theProvost shall make a recommendation to the Chancellor for all positive decisions.

6.6 Communication
6.6.1 The terms and conditions of each faculty appointment shall be stated in a letter from the Chancellor or Chancellor’s designee (the Provost) to the faculty member. The letter shall provide specification of the beginning and ending dates of the appointment or reappointment consistent with Sections 4.2 and 4.3 and any limitation of tenure due to source of funds consistent with 6.4.2.

6.6.2 The appointment of a faculty member to a position funded in whole or in substantial part from sources other than continuing state budget funds or permanent trust funds, whether for a specified term or with tenure, shall be contingent upon the continuing availability of such funds. This contingency shall not apply to the federal funds provided to the North Carolina Agriculture Research Service through the Hatch Act and the McIntire-Stennis Act and to the North Carolina Cooperative Extension Service through the Smith-Lever Act. These funds shall be considered as permanent trust funds, and faculty who are funded in whole or in substantial part from these sources shall not be subject to the contingency provisions of this section.

6.6.3 Joint Appointments: The terms and conditions of each joint faculty appointment shall be stated, including the home department, the proportion of the faculty member’s responsibilities and effort in each department, and the salary distribution across the departments.

6.6.4 Interdisciplinary Appointments: The terms and conditions of each interdisciplinary appointment shall be stated, including the proportion of the faculty member’s responsibilities and effort assigned to departmental and extra-departmental activities.

6.7 Periodic Performance Reviews

There shall be regular reviews of individual faculty performance conducted by academic administration with peer involvement where appropriate. These reviews shall be conducted pursuant to regulations issued by the Chancellor or Chancellor’s designee and shall include annual reviews of all faculty and periodic post-tenure reviews of tenured faculty.

7. PROCEDURES FOR REAPPOINTMENT, PROMOTION, AND CONFERRAL OF TENURE

7.1 Documentation

The candidate shall assemble documentation in consultation with the Department Head in accordance with NCSU REG05.20.20 – Reappointment, Promotion and Tenure Dossier Format Requirements.

7.2 Consultation

Decisions are dependent on substantive consultation with tenured faculty by Department Heads, Deans and the Provost who are responsible for the reviews that inform these decisions. 7.2.1 Departmental Consultation
It is the responsibility of the DVF to participate in this consultation at the departmental level. The DVF (see section 7.2.1.1) shall have full access to the documentation prepared for each candidate and the opportunity and responsibility to meet as a group with the Department Head to consider the matter confidentially. In each case, the DVF shall provide a written assessment.

In each case, a vote shall be taken either by secret ballot or open ballot, with the method of voting to be decided by a majority vote of the DVF. Faculty members who cannot attend the meeting shall be expected to vote in accordance with the department’s Reappointment, Promotion and Tenure Rule.

7.2.1.1

a. The DVF shall consist of tenured faculty with equal or greater rank than the position for which the individual is being considered.

b. The membership of the DVF in departments that appoint faculty only on non-tenure track contracts may vary from the definition in section a. For these exceptions, see section 9.2.2 of REG05.20.34 Non-Tenure Track Ranks and Appointments.

7.2.1.2 If the number of departmental voting faculty members is fewer than three (3), the Department Head, in consultation with the existing DVF, the individual being reviewed, and appropriate other Department Heads, shall request that the Dean appoint faculty members from allied departments in such number as to provide a group of three (3) members to serve as the DVF for the case.

7.2.1.3 In the case of joint appointments, the DVF of the home department shall make the recommendation for promotion and tenure based on written input from the DVF(s) of the other appointing department(s) or may conduct a single review by a DVF made up of representatives from each department.

7.2.1.4 In the case of an appointment in which the area of work of the candidates is substantively interdisciplinary, the head of the faculty member’s home department shall receive recommendations from tenured faculty of appropriate rank outside the department who are familiar with the interdisciplinary focus and activities of the faculty member. This may be achieved in either of two ways: (1) through written input by appropriate interdisciplinary faculty members in the deliberations of the DVF or (2) through the Dean’s creation of an interdisciplinary review committee made up of faculty from the home department and appropriate interdisciplinary faculty members; interdisciplinary review committees shall be appointed in consultation with the candidate, the Head of the home department and other faculty familiar with the faculty member’s interdisciplinary area and approved by the Provost.

7.2.2 Dean Consultation

a. The Dean, prior to making the reappointment decision or a recommendation to the Provost for promotion and/or conferral of tenure, shall consult with a duly constituted College Reappointment, Promotion, and Tenure Committee, appointed and charged by the Dean in
accordance with college rules approved by the Provost. The committee shall have full access to the documentation and an opportunity to confidentially discuss the case among themselves and shall provide a written assessment. A vote shall be taken either by secret ballot or open ballot, with the method of voting to be decided by a majority vote of the group. For joint or interdisciplinary appointments which involve programs or departments in more than one college, the CRPTC where the home department is located will discuss the case and provide a written assessment and vote.

b. In the Division of Academic and Student Affairs (DASA), which appoints only non-tenure track faculty, the Vice Chancellor and Dean shall consult with a duly constituted DASA Promotion Committee. See section 9.3.2 of REG05.20.34 Non-Tenure Track Ranks and Appointments.

7.2.3 Provost Consultation

A University Reappointment, Promotion, and Tenure Committee, appointed by the Provost in consultation with the Chair of the Faculty, shall advise the Provost in matters relating to the policy and processes involved in reappointment, promotion, and conferral of tenure. The committee may confidentially examine cases in the context of its process review. The Provost may consult the committee on individual cases, and in such cases the Committee shall provide a written assessment. Unless requested by the Provost, however, the Committee does not advise on specific cases.

7.3 Recommendations and Decisions

7.3.1 Recommendation of Department Head

In the case of a reappointment, promotion, or conferral of tenure for an appointed faculty member, the Department Head shall provide to the Dean or equivalent academic officer the written assessment and vote of the DVF, a written recommendation by the Department Head, and any written response provided by the faculty member in accordance with section 7.4.

In the case of joint or interdisciplinary appointments, the head of the home department will provide the assessment including the results of consultation with the head(s) of other departments in the appointment. The head of the home department will provide the Dean with the written assessment and vote of the department faculty or joint DVF and any written response provided by the faculty member.

7.3.2 Dean’s Decision and Recommendation

7.3.2.1 In the case of reappointment of a tenure-track faculty member, the Dean's decision is final except when recommending non-reappointment. In the case of joint appointments, the Dean of the college where the home department is located will make a recommendation on reappointment including the results of consultation with the Dean of the other participating college(s).
7.3.2.2 In the case of non-reappointment, promotion and conferral of tenure, the Dean shall provide to the Provost the written assessments, votes, and written recommendations provided from the DVF, Department Head, and College Reappointment, Promotion, and Tenure Committee, the Dean’s a written recommendation, and any responses provided by the faculty member in accordance with section 7.4.

7.3.3 Provost's Decision and Recommendation

In the case of promotion and conferral of tenure, the Provost shall make a recommendation to the Chancellor for all positive decisions after consideration of the faculty member's dossier, vote and assessment of the DVF, recommendation of the Department Head, vote and assessment of the College RPT Committee and recommendation of the Dean. The Provost may consult appropriate university-level academic officers in making these decisions. In the case of negative decisions, the Provost's decision is final.

7.4 Opportunity for Faculty Response to Written Assessments and Recommendations

The faculty member shall be provided the written assessment and recommendation at both the department and college levels and shall be given an opportunity to provide a timely written response at both levels. These responses shall become part of the documentation of the review for succeeding levels.

7.5 Sharing of Written Assessments, Recommendations, and Responses in the Reappointment, Promotion and Tenure Review

Upon completion of the department review, the Department Head shall provide to the DVF his or her written assessment and recommendation, and any responses provided by the faculty member to the Department.

Upon completion of the college review, the Dean shall provide to the DVF, the Department Head, and the College RPT Committee an opportunity to review the following documents: the written assessment and vote of the College RPT Committee, the written assessment and recommendation of the Dean, and any responses provided by the faculty member to the College assessments and recommendations.

7.6 Communication

7.6.1 Timely Notification

For tenure-track faculty, notice of reappointment or non-reappointment shall be in accordance with the notice requirements of Section 604 A of The Code for full-time faculty at the rank of instructor, assistant professor, or associate professor, which are as follows.

a. during the first year of continuous service at the institution, the faculty member shall be given not less than 90 days’ notice before the employment contract expires;
b. during the second year of continuous service at the institution, the faculty member shall be given not less than 180 days’ notice before the employment contract expires;

c. after two or more years of continuous service at the institution, the faculty member shall be given not less than 12 months’ notice before the employment contract expires.

Failure to give timely notice of non-reappointment will oblige the Provost thereafter to offer a terminal appointment of one academic year. Notice of non-reappointment shall be given in a letter from the Provost containing the decision not to reappoint.

7.7 Review of Non-reappointment Decisions

A probationary faculty member who is notified of a terminal appointment or a non-reappointment, pursuant to section 4.2 or 4.3, shall be granted upon request an interview with the Department Head to discuss the decision. The faculty member shall also upon request be granted a subsequent interview with the Dean to discuss the decision. After these interviews, if the faculty member believes the decision not to reappoint was based upon his or her exercise of rights guaranteed by either the First Amendment to the United States Constitution or Article I of the North Carolina Constitution; discrimination based upon the faculty member’s race, color, sex, religion, creed, national origin, age, disability, veteran’s status, genetic information or other forms of discrimination prohibited under policies adopted by the Board of Trustees; personal malice; or due to a material procedural irregularity that casts substantial doubt on the integrity of the decision not to reappoint, he or she may request a review pursuant to NCSU POL05.25.01 – Faculty Grievance and Non-Reappointment Review Policy. This review shall be limited solely to determining whether the decision not to reappoint was based upon any of the above-listed grounds.

8. IMPOSITION OF SERIOUS SANCTIONS

During any probationary or tenured appointment, a faculty member may be discharged or subject to the imposition of serious sanctions in accordance with the procedures prescribed in Section 603 of The Code.

8.1 Regulations issued by the Chancellor or Chancellor’s designee shall address the composition and appointment of a hearing committee.

8.2 As specified in Section 603 of The Code, discharge or imposition of serious sanctions may be based only upon:

8.2.1 incompetence, including significant, sustained unsatisfactory performance after the faculty member has been given an opportunity to remedy such performance and fails to do so within a reasonable time;

8.2.2 neglect of duty, including sustained failure to meet assigned classes or to perform other significant faculty professional obligations; or
8.2.3  misconduct of such a nature as to indicate that the individual is unfit to serve as a member of the faculty, including violations of professional ethics, mistreatment of students or other employees, research misconduct, financial fraud, criminal, or other illegal, unethical, or inappropriate conduct.

9.  SEPARATION OF FACULTY EMPLOYMENT

9.1  Resignation

A faculty member who intends to resign from employment has the obligation to give timely written notice of that intention to the head of the department in which the faculty member is appointed. Tenure ceases on the date of the resignation.

9.2  Termination Due to Financial Exigency or Program Elimination

9.2.1  During a probationary or tenured appointment, termination of faculty employment shall occur in accordance with the provisions of Section 605 of The Code only because of 1) a demonstrable, bona fide institutional financial exigency, or 2) the major curtailment or elimination of a teaching, research, or public service program.

9.2.2  Financial exigency is defined as a significant decline in the financial resources of the institution that is brought about by decline in institutional enrollment or by other action or events that compel a reduction in the institution's current operations budget. The determination of whether a condition of financial exigency exists or whether there shall be a major curtailment or elimination of a teaching, research, or public service program shall be made by the Chancellor, after consulting with the faculties of the departments or other units that might be affected, the academic administrative officers, the Faculty Senate, and the Board of Trustees.

In this or any subsequent consultation process, a faculty appointment may be terminated only after it is determined by the Chancellor, following careful review of alternatives, that the condition of financial exigency cannot be alleviated by less drastic means. The determination of financial exigency or a major curtailment or elimination of a teaching, research, or public service program is subject to concurrence by the President and approval by the Board of Governors.

9.2.3  If there must be termination of faculty appointments, the Chancellor shall give consideration to tenure status, years of service at the university, and other factors deemed relevant in determining whose employment is to be terminated. The primary consideration, however, shall be the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the university.

9.2.4  A faculty member whose employment is to be terminated shall be notified of this fact in writing. This notice shall include a statement of the conditions requiring termination of employment, a disclosure of pertinent financial or other data upon which the termination decision was based, and a general description of the procedures followed in making that decision.
9.2.5 If a faculty member whose employment is to be terminated alleges that the decision to terminate was arbitrary or capricious, a hearing committee of the Faculty Hearings Panel shall afford the faculty member a fair hearing, according to the procedures of Section 605 of The Code. This hearing shall be limited to the question of whether the decision to terminate was arbitrary or capricious. The Chancellor’s final decision may be appealed in the manner provided for by Section 605C (6) of The Code.

9.2.6 The university, when requested by a faculty member whose employment has been terminated, shall give reasonable assistance in finding other employment. For a period of two (2) years after the effective date of termination the university shall not replace the faculty member without first offering the position to the person whose employment was terminated.

9.3 Retirement

Faculty members may apply for retirement when eligible in accordance with the provisions of the North Carolina Statutes (Chapter 135). Tenure ceases on the effective date of retirement. Upon entering the UNC Phased Retirement Program, a faculty member relinquishes his or her permanent tenure in exchange for a three (3) year fixed-term contract.
April 14, 2013

MEMORANDUM

TO: University Courses & Curriculum Committee

FROM: Dr. Stephen S. Kelley, Professor and Department Head, Forest Biomaterials

RE: Request for Degree Title Name Change for BS Wood Products

The Forest Biomaterials Department is requesting a change in degree title from BS in Wood Products to BS in Sustainable Materials and Technology. The corresponding course prefix for the program will be changed from WPS to SMT, as indicated in a separate memo requesting the prefix change.

Justification:
The Forest Biomaterials Department is in the process of changing the current curriculum and degree title for the BS in Wood Products to BS in Sustainable Materials and Technology. This request is based on changes in the wood-based industries to develop more resilient and sustainable processes and products. While the core of the program will still cover the traditional areas of study in wood products, there is an expansion of the curriculum to include areas such as life cycle analysis, industrial ecology, and other topics in sustainability. The new name of Sustainable Materials and Technology recognizes this redirection of the program to better connect its traditional wood products technology with the sustainable/environmental aspects of growing the biomass, and with the environmental aspects of recycling and end-of-life issues. This change does not require a change in the CIP code for the program which remains as 03.0509.

The new degree title and curriculum revision will aid in recruiting the best and brightest undergraduate students into the program at NC State University, with a goal of learning the principles, processes, and skills associated with production of sustainable products that will be competitive in the market place. These skills will be invaluable as students graduate and take jobs in the industry.

The proposed effective date for this change is Fall 2013.
A Proposal for Permission to Plan a Professional Doctorate in Design
Submitted by the College of Design, NC State University

The College of Design is proposing to establish a Doctor of Design professional program with concentration related to specific design disciplines to complement existing PhD in Design and professional masters programs. Whereas the PhD in Design is an interdisciplinary program focusing research on critical issues common to a variety of design disciplines, the Doctor of Design will target practicing design professionals who wish to develop a high level of expertise to support their existing and future design activities and professionals who see the program as a way to structure and enhance their internship period. The program will be delivered through a mixture of on campus and on-line courses/workshops. Students in the program will work directly and remotely with mentors, faculty and committee members. Participants will be required to be on campus periodically for special events, workshops and intensive seminars. The intent is to offer a program for the practicing professional that they can participate in remotely and through periodic short-term visits to the campus for special programs. The intent is to begin the program with a single concentration and to then expand the program with additional concentrations in the other design disciplines within the college.

The Doctor of Design professional program is consistent with the interrelated missions of the UNC System, North Carolina State University, and the College of Design. It is intended to create new knowledge and promote its application in the professional design community. It will become a new educational model for the integration of the intellectual activity of the university into the practice of design. It will further advance scholarship and research in the College with minimal additional investment in facilities. As the program matures new concentrations will be developed that will enhance interdisciplinary collaboration among design professionals. Finally, this new professional doctorate program will significantly increase the university’s engagement with the professional design community and their efforts to create the environments and artifacts of the future. The program will build off the strengths of the professional programs in the college and provide a new forum for connecting design research to the needs of society.

The existing physical and intellectual resources of the College and the university will largely support this program. An initial investment will need to be made to develop the necessary on-line courses and establish one new faculty line; however, a proposed premium tuition will be sufficient to support program operation. It is anticipated that the market for this degree will only grow in the future given the projected growth of the Southeast and the need expressed by the professional design community for increased access to, and involvement in, research related to the design of places and artifacts that support human health and well being. This is further reinforced by an increased demand for evidence-based design practice that is evolving from a rapidly developing body of knowledge documented through rigorously developed case studies. The case study method is an essential aspect of this program. It is expected that those who complete this program will lead the evolution of new forms of design practice.

GR12/13 005
STUDENT BODY PRESIDENT REPORT
SBP REPORT TO THE BOARD OF TRUSTEES

September 19-20, 2013

Challenges are what make life interesting; overcoming them is what makes life meaningful.
Joshua J. Marine

STUDENT GOVERNMENT INITIATIVES AND PROJECTS

PACKAPALOOZA CELEBRATION – 2nd ANNUAL
-On August 24th, Wolfpack Welcome Week concluded with the second annual Packapalooza.
-The concept of Packapalooza was pushed by student leaders to shift away from the traditional concert and instead have an event that would attract the community at-large. The traditional Wolfpack Welcome Week concert attendance is around 5,000 students.
-Last year, for the first time ever, we shut down Hillsborough Street and had an all day street festival that included over 170 student organizations, two music stages, exciting project unveilings and 7 specific activity zones that provided entertainment for everyone. This year we had over 300 vendors which included student organizations, campus departments, colleges, and community partners.
-The event was in collaboration with the University, Union Activities Board, Hillsborough Street Community Service Corporation and Student Government.
-The street was PACKed for the entire event from 2-10 pm and there was an estimated attendance of over 45,000 people which is an increase of 15,000 from last year.

PRIMETIME WITH THE PACK “CAMPOUT”
-On October 18th, Student Government and the Men’s Basketball team will be hosting the second annual Campout at the PNC Arena.
-Traditionally, the event takes place outside of Reynolds Coliseum in early January for students seeks tickets to the State/UNC- Chapel Hill Basketball Game. Last year, the event was moved to October and became “Primetime with the Pack” in PNC Arena.
-Students will get to campout inside the PNC Arena on the different concourses and there will be many activities planned throughout the evening including: live music, free food and a chance to play on the PNC Arena court in the 3rd Annual Campout 3 v 3 basketball tournament.
-Students who campout receive a loyalty point incentive that helps with getting tickets to future games.
FOCUS ON TRADITIONS
- 6,000 copies of the third edition of The Brick, a book of history and traditions at NC State, distributed to new and transfer students.
- The Tradition Keeper Program is a Student Government partnership with the Alumni Association; a student who completes 40 of the 50+ traditions in The Brick will receive a medal to wear at graduation.
- We added a new element to The Brick which allows students to create their own traditions. This will help us reach out to nontraditional students and students who use Centennial Campus often to allow them to complete the Traditions Keeper Program.
- 54 Things to Do at NC State deck of cards distributed to students for the fourth year in a row.

WEAR RED ON FRIDAY'S
- Every Friday Student Government gives out free stuff to students, faculty and staff wearing red on campus and those not wearing red may be given a spirit citation.
- This year we are expanding our focus to include Centennial Campus and the Vet School.
- This is a collaborative effort with University Communications, the Campus Bookstore, and the Athletics Department.
- We are now partnering with the Alumni Association to expand Red Fridays worldwide to impact all of our alumni and continue to foster Wolfpack pride.
- The goal is to grow school spirit each week and this year Student Government is hoping to push the effort off campus into the local and national communities.

ATHLETICS INITIATIVES

PHASE TICKETING FOR MEN'S BASKETBALL GAMES
- This year we will be initiating a phase ticketing policy for all home Men's Basketball games which will help improve the game day experience by eliminating the need for students to line up 10+ hours early for a game. This policy will also help the university fulfill its contract with PNC arena by limiting the hours that PNC has to monitor students in line outside the door.

STUDENT LIFE AND CAMPUS EVENTS

DINING CHANGES- TALLEY AND ON THE OVAL
- Talley will be open in early October to meet the needs of students, faculty, and staff with premier dining services like Los Lobos, Jason's Deli, Tuffy’s Diner, etc.
- On the Oval opened August 7th in Centennial Campus to provide a place for students to come together while living and studying on Centennial Campus.

RESPECT THE PACK EVENT – 2ND ANNUAL EVENT
- The newest NC State tradition took place for the second time on August 20th. Student Government helped host the event in partnership with the GLBT Center, OIED, MSA, and Student Leadership and Engagement.
- A marquee diversity event on campus, Respect the Pack is a Wolfpack Welcome Week event at the Free Expression tunnel celebrating the values of equality and mutual respect for all people in our diverse community.
- We had over 400 students, faculty, and staff paint their hand on the Free Expression Tunnel to affirm their commitment to respecting diversity and working to create an open and inclusive campus.

COMMUNICATIONS PROJECTS

CURRENT STUDENTS WEBPAGE
- University Communications web development team and Student Government have been developing a one stop shop webpage for all students.
- The webpage will include quick links, a centralized calendar for student organizations, student relevant news stories and host blogs from the Student Body President and Dr. Mike Mullen, the Vice Chancellor and Dean of Academic and Student Affairs.

SOCIAL MEDIA
- Communication through Student Government Facebook, Twitter, and Instagram.
- “Wolfpack Students” Facebook group.
- Communication through Student Body President’s Twitter Account.

STUDENT BODY PRESIDENT BLOGS
- Weekly blogging through “Student Voices” on ncsu.edu website.

STUDENT FEEDBACK

BUZZOCRACY
- We have a new online platform for voicing student concerns. This website allows students to post anonymously about issues they see on campus, requires them to submit a solution, and allows Student Government to interact with that student and administrators. Other students can go online and support an issue and then Student Government can use quantifiable data to help administrators see the support for certain programs.

In the spirit and pride of the Wolfpack,

Alexander J. Parker
Student Body President, 2013-2014

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350 Harrelson Hall “The Satellite Student Center”
Campus Box 7306
Raleigh, NC 27695-7318
Graduate Certificate Program in Nano-Systems Engineering

Description

The newly funded NSF Nano-systems Engineering Research Center (NERC) for Advanced Self-Powered Systems of Integrated Sensors and Technologies (ASSIST) proposes the founding of a new graduate certificate program in Nano-Systems Engineering.

The ASSIST center is a multidisciplinary endeavor, bringing together students and faculty from many engineering departments. This creates a need for a multidisciplinary graduate certificate program in Nano-science and Technology to serve the needs of students from all engineering disciplines who may be conducting research within the ASSIST center, or who are interested in nano-science and technology research. The certificate program will be open to graduate students outside of ASSIST in order to enhance interest in pursuing graduate work toward a Ph.D. in the field.

The purpose of the graduate certificate is to establish a sequence of courses that will equip students with the technical skills essential for graduate research in the field and to educate them in entrepreneurship and other relevant skills that will make them competitive in the modern engineering environment. The scope of the program is broad enough to include applications of nano-technology in a variety of fields including digital logic, energy harvesting, biomedical applications and others. As such, the certificate includes technical electives from many departments to provide breadth in different topics.

Learning Outcomes

Upon completion of the graduate certificate, students will be able to:

1. Explain the fundamental properties of materials at nano-scale and compute their electronic, optical and mechanical properties.
2. Describe operational principles of nano-scale devices and others based on nano-structured materials and perform calculations to predict their properties. Devices of interest include electronic devices used for analog and digital computing, energy harvesting, sensing and others.
3. Critically analyze and design engineering systems based on nano-scale devices.
4. Recognize opportunities for innovation and apply entrepreneurship skills to make the transition from fundamental science concepts to manufacturing.
AGREEMENT FOR A DUAL DEGREE PROGRAM
BACHELOR OF SCIENCE IN BUSINESS ADMINISTRATION – EAI BACHELOR

between

NORTH CAROLINA STATE UNIVERSITY
ON BEHALF OF THE POOLE COLLEGE OF MANAGEMENT
RALEIGH, NC, USA

and

SKEMA BUSINESS SCHOOL
SOPHIA ANTIPOLIS (FRANCE); RALEIGH (USA)

This Agreement for a **Dual Degree Program: Bachelor of Science in Business Administration** (BSBA) – EAI Bachelor sets forth the expanded academic relationship between NC State University ("NC State") and SKEMA Business School ("SKEMA"). In September 2010, the parties entered into a Memorandum of Agreement ("MOA"), which is incorporated herein by reference that set forth the parameters for the establishment of SKEMA’s physical presence on NC State’s Centennial Campus. Section 14 of the MOA contemplated that the parties will explore dual degree programs, student and faculty exchanges to SKEMA’s global campuses and joint faculty collaborations. The parties now desire to elaborate the practical rules and guidelines for the BSBA-EAI Bachelor dual degree program.

**I. General Understanding**

Poole College of Management ("PCOM") agrees to accept up to twenty (20) transfer students from the EAI Bachelor program at SKEMA each year into the Bachelor of Science in Business Administration degree as set forth in the articles below.

SKEMA will nominate prospective students for enrollment in the Bachelor of Science in Business Administration in PCOM during the student’s fifth semester of study at SKEMA’s Business School - EAI Bachelor program at SKEMA’s Raleigh Campus. Nominated prospective students will apply for admission to North Carolina State University. Upon meeting the required admissions standards, the students will transfer into the Bachelor of Science in Business Administration degree program at NC State. It is anticipated that the first students will be admitted to NC State beginning in the fall semester of 2013.

These transfer students will complete their seventh and eighth semesters at the PCOM as regular degree candidates. Students are expected to maintain full-time enrollment and remain in good academic standing (see number 5). Specific class enrollment is subject to the availability. All degree requirements for the Bachelor of Science in Business Administration must be satisfied to attain the degree from NC State. (See Appendix A)

**II. Implementation**

1. **Admissions** - EAI Business students will apply for admission through the regular international transfer application process, which includes completion of the online application, payment of $100 application fee (subject to change), submission of official academic records (in English), proof of English proficiency, and credible documentation
of finances (CFR). Details about the application process and important deadlines are available at the Admissions website: http://admissions.ncsu.edu/intl/int-trans.php.

**Fall Semester Application deadline:** February 1 (subject to change)

**Spring Semester Application Deadline:** August 1 (subject to change)

Students must have a minimum Grade Point Average (GPA) of 2.8 on a 4.0 (US standard) scale to be eligible for admissions into NC State and the Poole College of Management. The minimum accepted grade transfer will be C- (1.667 grade points) based on US standards.

Applications will be reviewed by the Office of Undergraduate Programs, PCOM, who will make a formal recommendation regarding admission to the University's Admissions Office. The University Admissions Office has the final authority on all admission decisions. Students will be notified of their admission decision by April 1st (for the Fall Semester) and October 15th (for the Spring Semester). Only complete applications including all required documentation will be considered.

2. **Course and Credit Transfer** - SKEMA and PCOM will review courses and curricula in respective undergraduate programs to evaluate transfer equivalencies. The attached table (Appendix A) outlines the course equivalency agreed upon by both schools. SKEMA and PCOM agree to evaluate the course equivalency on a periodic basis to ensure the course content accurately reflect the agreed upon course equivalency.

Course credit and grading in the SKEMA EAI Bachelor Program is based on a US model that is equivalent to NC State.

According to the policies of North Carolina State University and its accrediting agencies, a minimum of 25% of the total credits going towards the NC State degree must be taken at NC State. In addition, 30 of the last 45 credits earned towards the NC State degree must also be taken at NC State.

3. **Tuition, Fees and Living Expenses** - Admitted students who enroll at NC State shall be responsible for paying all tuition and student fees along with living expenses including housing, travel, medical insurance (required), medical costs not covered by insurance, food, subsistence costs, books and other educational materials. As required by the United States Government, all international students must demonstrate the financial resources to support the duration of their education in the United States. As such, students must complete the Certification of Financial Responsibility (CFR) form as part of the admissions process.

4. **Language Proficiency** - English proficiency can be demonstrated through a minimum score of 80 on the TOEFL or at least a 6.5 on the IELTS. Students will need to provide this information during the application process. Subject to change based on University standards.

5. **Academic Performance** - Students are expected to maintain a minimum GPA of 2.0 during their studies at NC State. Failure to meet this requirement may result in the student being removed from the program.
6. **Administrative Coordinators** - Each institution shall appoint a Program Coordinator to liaise with his or her counterpart on all matters concerning applicant reviews, curriculum, assessments, and student progress. The Program Coordinator will serve as the contact person on campus and will be responsible for arrangements associated with transfers and ensuring that necessary approvals are in place. The Administrative Coordinators are listed hereafter and shall be updated as required.

**For SKEMA:**
Claire Metzger  
International Coordinator  
SKEMA Business School  
33 493 95 4449  
33 493 95 4570  
claire.metzger@skema.edu

**For North Carolina State University:**
Robert Sandruck  
Director of International Programs  
Poole College of Management  
919.515.2215 (office)  
919.515.5564 (fax)  
robert_sandruck@ncsu.edu (email)

Academic oversight of the program will be held by the Associate/Vice Dean of the respective schools.

7. **Equal Opportunity** - Both universities subscribe to a policy of equal opportunity and will not discriminate against any participating student on the basis of race, gender, age, marital status, ethnicity, religion, national origin, sexual orientation, handicap or any other basis prohibited by the laws of that university’s home country.

8. **Disclosure** - The parties agree that personally identifiable information and education records of the students shall be maintained in a confidential manner and shall not be released except to school officials with a legitimate educational interest or as allowable by applicable Federal and State law.

9. **Force Majeure** - In the event that the performance of the obligations under this Agreement is prevented by reason of Force Majeure, the parties are released from their obligations and neither party shall be responsible for any damages sustained and have no further recourse against the other party. Force Majeure shall mean fire, earthquake, hurricane, flood, act of God or other natural disasters, epidemics or pandemics, nuclear explosions, strikes, work stoppages, or other labor disturbances, riots or civil commotions, war or other act of any foreign nation, terrorism, power of government, or governmental agency or authority, or any other cause like or unlike any cause mentioned which is beyond the control of the parties.

10. **Accreditation Review** – This agreement is conditional upon approval of any accrediting agency with jurisdiction over either institution

11. **Disclaimer** - NC State is accredited by the Southern Association of Colleges and Schools’ Commission on Colleges to award Bachelor’s, Master’s and PhD degrees. SKEMA Business School is not accredited by the Commission on Colleges and the accreditation of NC State does not extend to or include SKEMA Business School or its students. Although NC State accepts certain course work in transfer toward a credential from SKEMA Business School, or collaborates in other ways for generation of course credits or program credentials, other colleges and universities may or may not accept this work in transfer, even if it appears on a transcript from NC State. This decision is made by the
institution subsequently considering the possibility of accepting such credits. Both institutions will make their personnel, records, and facilities available to accreditors and other official reviewers.

12. Use of SACSCOC Logo – Neither Member nor Partner institutions may use the SACSCOC logo. Its use is reserved exclusively for the Southern Association of Colleges and Schools Commission on Colleges.

III. Miscellaneous

1. This MOU shall take effect upon the date of the last signature and be valid for a period of five (5) years. During the fourth year, renewal for an additional five-year period will be considered. Either university may, by notice in writing of no less than 12 months, terminate this MOU. However, any students who have commenced their studies at NC State at the date of termination may complete their courses of study towards degree completion, assuming said students remain in active visa status within North Carolina State University.

2. The relationship of NC State and SKEMA under this MOU shall be that of independent contractors, and a party shall not be deemed, nor hold itself out as being, a partner or agent of the other party. This MOU does not create legal relations between the Parties and does not constitute a legally binding contract.
Signatures

IN WITNESS WHEREOF, the authorized representatives of the parties have executed this agreement on the date(s) indicated below:

For, and on behalf of,  
North Carolina State University  
Raleigh, USA

For, and on behalf of,  
SKEMA Business School  
Sophia Antipolis, France

The signing of this agreement insures compliance with the requirements of this Memorandum of Understanding and the Memorandum of Agreement (Appendix 2). Any changes will require approval by the signatories and other approval bodies as applicable.

<table>
<thead>
<tr>
<th>NC State Signatures:</th>
<th>Partner Institution Signatures</th>
</tr>
</thead>
</table>
| Department Head      | Date  
Vice Dean, Skema Business School | Date |
| College Course & Curriculum Committee | Date  
Dean, SKEMA Business School | Date |
| College Dean         | Date  
Chair, UCCC | Date |
| University Course & Curricula Committee | Date  
DASA | Date |
| Provost, N.C. State University | Date |

3/6/13  
3/6/13  
4/1/13  
4-11-13
### North Carolina State University

**Faculty Salary Ranges**

*Effective July 1, 2013 - June 30, 2014*

<table>
<thead>
<tr>
<th>College/Division</th>
<th>Discipline**</th>
<th>RANK</th>
<th>2013-14 Ranges (9-mo Salary Basis)</th>
<th>Market Comparison</th>
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### North Carolina State University

**Faculty Salary Ranges**

*Effective July 1, 2013 - June 30, 2014*

<table>
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<tr>
<th>College/Division</th>
<th>Discipline**</th>
<th>RANK</th>
<th>MIN*</th>
<th>Market Comparison</th>
<th>MAX*</th>
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**Includes:** Architecture, Art & Design, Graphic Design, Industrial Design, and Landscape Architecture
## North Carolina State University

### Faculty Salary Ranges

**Effective July 1, 2013 - June 30, 2014**

<table>
<thead>
<tr>
<th>College/Division</th>
<th>Discipline**</th>
<th>RANK</th>
<th>MIN*</th>
<th>Market Comparison</th>
<th>MAX*</th>
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# North Carolina State University

## Faculty Salary Ranges

*Effective July 1, 2013 - June 30, 2014*

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# North Carolina State University

## Faculty Salary Ranges

*Effective July 1, 2013 - June 30, 2014*

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## North Carolina State University
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*Effective July 1, 2013 - June 30, 2014*

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<td>Associate Professor</td>
<td>$60,937</td>
<td>$81,249</td>
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<td>$62,772</td>
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<td>$120,114</td>
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<td>Genetics</td>
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<td></td>
<td>Assistant Professor</td>
<td>$63,110</td>
<td>$84,147</td>
</tr>
</tbody>
</table>
# North Carolina State University
## Faculty Salary Ranges

*Effective July 1, 2013 - June 30, 2014*

<table>
<thead>
<tr>
<th>College/Division</th>
<th>Discipline**</th>
<th>RANK</th>
<th>MIN*</th>
<th>Market Comparison</th>
<th>MAX*</th>
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<tbody>
<tr>
<td>College of Textiles</td>
<td>MicroBiology</td>
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<td>$70,537</td>
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<td>Apparel / Textiles</td>
<td>Professor</td>
<td>$84,402</td>
<td>$112,536</td>
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<td>Division of Academic &amp; Student Affairs</td>
<td>Music</td>
<td>Professor</td>
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<td></td>
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<td>Associate Professor</td>
<td>$53,705</td>
<td>$71,606</td>
<td>$125,311</td>
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<td>Assistant Professor</td>
<td>$55,000</td>
<td>$58,812</td>
<td>$88,218</td>
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</table>
North Carolina State University
Faculty Salary Ranges
Effective July 1, 2013 - June 30, 2014

<table>
<thead>
<tr>
<th>College/Division</th>
<th>Discipline**</th>
<th>RANK</th>
<th>2013-14 Ranges (9-mo Salary Basis)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Physical Education</td>
<td>Professor</td>
<td>MIN*: $84,514</td>
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<td>Market Comparison: $112,685</td>
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<tr>
<td></td>
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<td>MAX*: $225,370</td>
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<tr>
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<td>Associate Professor</td>
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<td>Market Comparison: $81,616</td>
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<td>MAX*: $142,828</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Assistant Professor</td>
<td>MIN*: $55,000</td>
</tr>
<tr>
<td></td>
<td></td>
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<td>Market Comparison: $68,593</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>MAX*: $102,890</td>
</tr>
</tbody>
</table>

*MIN: This is an aspirational minimum for current faculty. Hiring offers below this minimum -- or above the maximum -- require authorization as an exception.

**DISCIPLINE: Colleges should use the discipline of best fit when hiring a specific faculty position. For example, if Textiles is hiring a chemical engineer, the relevant range from Engineering should be used. If hiring in a discipline not included on this listing, HR may be asked to conduct a targeted market analysis.
Dean of the Graduate School

North Carolina State University (NC State) invites inquiries, nominations and applications for the position of Dean of the Graduate School. The Dean is one of 12 deans reporting directly to the Provost and Executive Vice Chancellor and is a senior academic officer with specific responsibility for advancing graduate education. The Graduate School is at the heart of the University’s vast research community. It offers programs in more than 100 areas, plus numerous minors, certificate programs, and interdisciplinary options. Many of these programs are ranked among the nation’s best and combine dynamic research opportunities with an emphasis on collaboration between departments to give NC State graduate students an outstanding education.

NC State has over 5,000 master’s students and more than 3,200 Doctoral students. An additional 300+ students are pursuing doctoral degrees in Veterinary Medicine and 950 post-baccalaureate students are enrolled in various NC State lifelong learning programs. Our graduate faculty includes more than 2,800 dedicated academics. To date, 21 of our graduate faculty have been inducted into the National Academy of Science or the National Academy of Engineering.

About the Position

The University seeks a visionary leader and a recognized scholar with credentials appropriate for appointment at the rank of full professor in one of the University’s academic departments. The candidate should have a history of engagement in graduate education that includes mentoring graduate students and directing theses and dissertations. He/she must also have a record of administrative and leadership experience appropriate for the role, including budgetary management, strategic planning, knowledge of emerging issues and trends in graduate education, academic program planning and review, student recruitment and retention, and a demonstrated commitment to promoting faculty, staff and student diversity.

The position is an integral part of the Council of Deans and the Vice Provosts. The Dean also represents the Graduate School to the Office of the Chancellor, University of North Carolina General Administration, and the public. The Dean works collaboratively with deans, department heads, and directors of graduate programs. In matters of policy, the Dean acts with the advice of the Administrative Board of the Graduate School. He/she also works closely with the Chancellor and Provost in the development and implementation of the University’s enrollment plan, advancing excellence and promoting the growth of graduate education, and the effective and efficient functioning of the Graduate School. Graduate education is an important part of the University’s strategic plan, “The Pathway to the Future: NC State’s 2011-2020 Strategic Plan,” and the Dean must work effectively with others to provide a coordinated approach to achieving the University’s goals.

Inquiries and nominations may be directed to Justin Lang, Director, Executive Search Services, at 919-513-1963 or jdlang2@ncsu.edu. Please apply online with a curriculum vita, letter of interest summarizing your qualifications, and the names and contact information of three professional references. Apply at jobs.ncsu.edu (position #00001599). Additional information can be found at http://go.ncsu.edu/ess.

NC State University is an equal opportunity and affirmative action employer. All qualified applicants will receive consideration for employment without regard to race, color, national origin, religion, sex, age, veteran status, or disability. In addition, NC State University welcomes all persons without regard to sexual orientation.
At present, classes have just begun and the Faculty Senate will have its first meeting next week (August 27th). By the time the Trustees convene, the Senate will have met twice. We expect to use our initial meetings to prioritize a number of potential issues vying for the Senate’s attention this academic year. These issues include: Budgets Cuts and Strategic Planning, Capital Campaign, Distance Education and E-Learning, Enrollment Planning, Shared Business Services, and the UNC System’s Strategic Plan (Strategic Directions). When I make my report in September, I will update the Trustees as to which issues the Faculty Senate has decided to focus its attention on.

Faculty have also raised questions about the declining student response rates on class evaluations, the alignment of our endowment with our teaching and research mission, and the need to build stronger links between Centennial Campus and our main campus. These issues may also be discussed in committees as well as in full Faculty Senate meetings.

Among continuing initiatives, the Faculty Senate expects to review progress on the university’s Quality Enhancement Plan (QEP) focused on critical and creative thinking, a requirement for the reaffirmation of our accreditation. We will also discuss the ongoing efforts at cluster hiring of faculty across the colleges.

Finally, as the university continues to face challenges with resources and funding, the Faculty Senate stands ready and willing to work together with all interested parties on campus and beyond to help articulate the crucial arguments for public investment in what we all agree is one of the great land-grant research universities in the United States. We on the Faculty Senate
believe that the more the citizens of North Carolina learn about the exceptional teaching and cutting-edge research that goes on across the campus and throughout the state, the more our fellow North Carolinians will come to understand that support for NC State translates into a prosperous economy and an engaged citizenry.

Respectfully submitted,

David A. Zonderman

Professor of History

Chair of the NC State Faculty
August 22, 2013

Honorable Trustees:

The NC State Staff Senate begins the new year with many new members and an open agenda. The new year kicked off with the annual Staff Senate retreat, which had a theme of "Change and Evolution." Senators heard from Chancellor Randy Woodson and Vice Chancellor for Finance and Business, Charles D. Leffler, about the changing face of the State Legislature, Board of Governors, and the changes to the State budget – and how those changes may affect the University. This was followed by a presentation on the way NC State is changing the way we do business with a presentation from the new Onboarding Center Manager, Amy Grubbs. Ms. Grubbs explained how NC State's first Business Operations Center is effectively and more efficiently welcoming new members to the Wolfpack family by providing a central resource for new employees. Senators also had the opportunity to not only hear about, but witness, the evolution of campus and the surrounding community since 2001 with dynamic presentations from Associate Vice Chancellor for Facilities, Kevin MacNaughton, and Hillsborough Street Community Services Corporation Executive Director, Jeff Murrison. Both Mr. MacNaughton and Mr. Murrison's presentations included future projects such as the much anticipated renovation of Reynold's Coliseum and the change to the University's main gateway on Hillsborough Street with the Bell View Hotel. The retreat culminated with staff senators seeing part of this change and evolution first hand with a tour of the James B. Hunt Jr. Library. Future Staff Senate meetings will continue to educate and share with staff the significant and upcoming changes that will affect them personally, such as those with the State Health Plan – but also show first-hand the evolution and change on campus, with our first ever meeting (and tour) at the College of Veterinary Medicine in October.
Our new senators are enthusiastic to begin their committee work. A plethora of campus-wide activities have already been planned for the fall semester. Many of these activities are "lunch and learn" seminars which will focus on human-resource activities such as personal development and consumer awareness, while other activities include displays and representatives to educate and promote the environment and campus resources. As in past years, the Staff Senate will continue to engage with on-campus organizations and our community partners to promote positive change and enhance the lives of those on our campus and surrounding community, with events such as the Support The Troops Campaign, which provides care boxes to soldiers overseas.

It is my honor and pleasure to serve as the Chair of the NC State Staff Senate this year. It is my desire that the work we do have a positive impact on the lives of our staff on campus, and across the state. We are entering what is likely to be a tough year for this University, and I hope to focus on opportunities for staff that will be encouraging and morale boosting. I look forward to sharing the results of what we do throughout the year.

Respectfully submitted,

Ryan Hancock
Chair, NC State Staff Senate
2013-2014