THURSDAY, April 21, 2016
RESERVED PARKING AT MEMORIAL BELLTOWER

9:45 – 10:00 a.m.  Nominating Committee
Room 12, Chancellor’s Conference Room
(Jenkins, Goodnight, Murphy, Prestage)

10:00 – 10:45 a.m.  Overview of Student Wellness Programs
Winslow Hall Conference Room
(All Trustees, Executive Officers)

11:00 – 11:45 a.m.  Inclusive Diversity at NC State
Winslow Hall Conference Room
(All Trustees, Executive Officers)

11:45 – 12:45 p.m.  Trustee Lunch: Caldwell, Goodnight Park Scholarships
by Directors Feucht, Medlin, and Odom
(All Trustees and Executive Officers)

1:00 – 2:30 p.m.  Audit, Risk Management and Finance Committee
Winslow Hall Conference Room
Tom Cabaniss, Chair; Andrews, Cyrus, Prestage, Ward, Washington

1:00 – 2:30 p.m.  University Advancement and External Affairs Committee
Chancellor’s Conference Room 12, Holladay Hall
Jimmy Clark, Chair; Goodnight, Jenkins, Kelly, Murphy, Ramsey

2:30 – 2:45 p.m.  Break

2:45 – 4:15 p.m.  Buildings and Property Committee
Chancellor’s Conference Room 12, Holladay
Randy Ramsey, Chair; Clark, Jenkins, Murphy, Prestage, Washington

2:45 – 4:15 p.m.  University Affairs Committee
Winslow Hall Conference Room
Susan Ward, Chair; Andrews, Cabaniss, Cyrus, Goodnight, Kelly
All Trustees, EOs, Deans and Spouses/Guests
FRIDAY, APRIL 22, 2016
7:30 – 8:00 a.m. Executive Committee Meeting
Jim Owens, Chair; Clark, Cabaniss, Goodnight, Jenkins
Eury Room, Park Alumni Center

8:30 - 9:15 a.m. Dean’s Briefing: Mike Mullen, Vice Chancellor and Dean,
Academic and Student Affairs
Hood Board Room

FULL BOARD MEETING, HOOD BOARD ROOM, PARK ALUMNI CENTER
9:00 a.m. Call to Order and Ethics Statement
Jim Owens, Chair of the Board

Roll Call

Approval of Minutes TAB 1
- February 19, 2016, Meeting of the Full Board
- February 19, 2016, Closed Session of Full Board

Chair’s Report TAB 2
Chair Owens
- Endowment Board Appointments

Chancellor’s Report TAB 3
Randy Woodson

COMMITTEE REPORTS:
Audit, Risk Management and Finance Committee TAB 4
Tom Cabaniss, Chair
On the Agenda: Committee Approvals and Informational
- Approval of Internal Audit Plan for Fiscal Year 2017
- Informational Reports including:
  - Internal Audit Update
  - Finance/Budget and Legislative Update
  - Annual Review of Associated Entities
  - University Debt Update
  - Enterprise Risk Management and Compliance Update
Buildings and Property Committee

Randy Ramsey, Chair

On the Agenda: Board, Committee Approvals; Informational Reports

- Property Matters
  - Disposition by Land Exchange ±0.53 acres of State Of North Carolina land in Hatteras Village with Captain Lee Setkowsky (adjacent owner) in exchange for strategic facilities of equal value to be identified by the College of Agriculture and Life Sciences. Land valuation and equity to be determined in conjunction with the State Property Office of the Department of Administration.

- Designer Selections
  - Weisiger-Brown Parking Lot – Central Campus
  - Open Ended Service Agreement Designers Selections 2016-2018
  - Approval of Designer Selections Less than $500,000

- Construction Manager at Risk Selection
  - EB Oval, Centennial Campus

- Acceptance of Completed Buildings and Projects

- Proposed Revision to Policy 7.60.1 Parking and Transportation Ordinances 2016-2017

- Physical Master Plan Annual Update

- Plan Approval

- Informational Reports

University Advancement and External Affairs Committee

Jimmy Clark, Chair

On the Agenda: Board, Committee Approvals; Informational Reports and Closed Session

- Informational Reports
  - University Advancement Update
  - Corporate and Foundation Relations Overview

- Committee Discussion
  - Endowment Naming Levels Update
  - Campaign Update

- Closed Session

University Affairs Committee

Susan Ward, Chair

On the Agenda: Board, Committee Approvals; Informational Items and Closed Session

- Residency for Full Scholarship Undergraduate Students

- Students Requiring Special Consideration

- Request for Authorization to Plan a New Degree Program
  - B.S. in Agroecology and Sustainable Food Systems
University Affairs Committee (continued)

- Renewal of Wake STEM Early College High School MOA
- Revisions to POL 05.25.01 Faculty Grievance and Non-Reappointment Review
- Annual Report on Management Flexibility
- May 2016 Commencement Speaker
- Faculty Senate Report
- Staff Senate Report
- Provost’s Update – Notification of New Academic Programs; Update on Leadership Position Searches; Distinguished Professorship Update; and Nepotism Report
- Closed Session:
  - Personnel Matters

Nominating Committee

Ben Jenkins, Chair
- Nomination of a Slate of Officers for 2016-2017

Chair of the Board of Visitors Report

Chuck Flink, Chair of the Board of Visitors

Student Government Report

Khari Cyrus, Student Body President

Presentation of Walter Hines Page Award

Jim Owens, Chair
Randy Woodson, Chancellor

Items of Interest to Members of the Board

CLOSED SESSION

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

11:00 a.m. * Adjourn

* Denotes full board approval
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY

Executive Committee
April 22, 2016
Jim Owens, Chair
Members: Clark, Cabaniss, Goodnight, Jenkins

AGENDA

CALL TO ORDER
Reading of Conflicts of Interest
Jim Owens, Chair

ROLL CALL

APPROVAL OF MINUTES
✓ — February 19, 2016 Meeting of the Executive Committee

GUIDANCE ON CHANCELLOR COMPENSATION

ADJOURN
OPEN SESSION MINUTES  
North Carolina State University  
Board of Trustees Executive Committee  
Friday, February 19, 2016

Members present: James W. Owens, Chair; Jimmy D. Clark; Thomas E. Cabaniss; Ann B. Goodnight; and Benjamin P. Jenkins III

Others present: Randy Woodson, Chancellor; Eileen Goldgeier, Vice Chancellor and General Counsel; and PJ Teal, Assistant Secretary

Chair Owens called the meeting to order at 7:30 a.m. He 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 Owens 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  
Mr. Jenkins made the motion, seconded by Mr. Clark, to approve the open and closed session minutes of the November 24, 2015, meeting of the Executive Committee. The motion passed.

GUIDANCE ON CHANCELLOR COMPENSATION  
Chair Owens stated that Mr. Jenkins and he have worked on a very preliminary draft of a document intended to clearly outline the process for Trustees to proactively work to ensure the competitiveness of NC State’s Chancellor compensation. This record consolidates multiple aspects into one concise document. The intent of the final version of this guidance would be to serve as a resource for future Trustees concerning their responsibilities and authority regarding Chancellor compensation.

Mr. Jenkins outlined components of the draft document (Appendix A). He reiterated that this was only a starting point for discussion and encouraged Executive Committee members to review carefully and make additions, revisions or suggestions. Their shared thinking would result in a very useful tool for future Trustees.

Dr. Owens said that he would like to have comments in time to incorporate changes for review at the April Executive Committee meeting.
With no further business for the Executive Committee, Chair Owens adjourned the meeting at 7:55 a.m.

Respectfully submitted:

_________________________  _______________________
Assistant Secretary        Secretary

_________________________
Chair
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, in Raleigh, NC, on Friday, February 19, 2016.

Members present: James W. Owens, Chair  
Robert F. Andrews  
Thomas E. Cabaniss  
Jimmy D. Clark  
Ann B. Goodnight  
Benjamin P. Jenkins III  
Stanhope A. Kelly  
Wendell H. Murphy  
Randall C. Ramsey  
Susan P. Ward  
Dewayne N. Washington  
Khari Cyrus, ex officio

Chair Owens called the meeting to order at 9:25 a.m. He 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 if there were any known conflicts of interest or appearances of conflict with respect to any matters coming before the board at this meeting. Chair Owens 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  
Mr. Ramsey made the motion, seconded by Mrs. Ward, to approve the open and closed session minutes of the November 13, 2015 meeting of the full board. The motion passed.

CHAIR’S REPORT - JIM OWENS  
Chair Owens reported that Founders’ Day is on Monday, March 7, at Talley Student Union with a reception at 6 p.m. and dinner at 7 p.m. He noted that the Watauga Medal Recipients are as follows:

- Barbara Mulkey  
- George Worsley  
- Barbara Goodmon, who has asked that her medal be awarded at the 2017 ceremony

Chair Owens announced that Commencement is on May 7 and he thanked the Trustees for their participation in the December graduation ceremony.

Chair Owens shared information about a wonderful gift that will be announced soon that is very transformational. Randy and Tiffany Ramsey have made generous, historic gifts in support of both the Wolfpack Club and the College of Veterinary Medicine at NC State. These gifts include a naming to support the Randy and Tiffany Ramsey Men’s Basketball Team Endowment and also establish the Tiffany and Randy Ramsey Equine Sports Medicine Program in the College of Veterinary Medicine. The Ramseys’ gifts are mile markers in both programs. Their gift to the Wolfpack Club is the largest single gift in support of an endowment and the largest single gift to the Equine Sports Medicine Program.

Chair Owens reported that in April, UNC System Margaret President Spellings will visit NC State’s campus for a day-long tour. He reminded the Trustees to hold the early afternoon/evening of April 20 for a
Trustee reception with President-elect Spellings. He also asked that the Trustees hold the morning of April 21 for additional meetings. He noted that these meetings are in response to Trustees' requests to receive additional information on both diversity and mental health resources for students.

Chair Owens reported that the Board of Trustees' Bylaws give the nominating committee responsibility for presenting a slate of nominees to the board at its last meeting before the beginning of each fiscal year. The slate of nominees shall contain at least one nominee for each of the offices of Chair, First Vice Chair, Second Vice Chair and Secretary.

He appointed the 2016 nominating committee as follows:

1. Ben Jenkins, Chair
2. Ann Goodnight
3. Wendell Murphy
4. Ron Prestage

Chair Owens reported that the University of North Carolina Board of Governors requires that the NC State Board of Trustees complete a review of Chancellor Woodson in the second spring after his appointment and every four years thereafter. The Chancellor’s previous biennial review occurred in 2012. The review will provide feedback for the Chancellor about his leadership and effectiveness. He stated that on February 22, all Trustees will be sent an email asking to participate in the online survey that will close at noon on March 8. Then, there will be a discussion of the survey results and any additional comments in closed session at the conclusion of the meeting in April. He noted that a summary of the survey results will be forwarded to President Spellings followed by a meeting with him, President Spellings and Chancellor Woodson to discuss the results.

Chair Owens reported that the Endowment Board approved a resolution authorizing the sub-delegation by Treasurer and Assistant Treasurer for Gifts of Securities, for purposes of operational efficiency and effectiveness. Chair Owens reported that the Board also approved allowing an endowment that was not going to reach full endowment level to move ahead and spend available monies in accordance with the original purpose.

Chair Owens stated that the Endowment Board heard a report on fundraising, the upcoming Capital Campaign, and other advancement highlights. He reported that Vice Chancellor Scott Douglass presented gifts on behalf of the Chancellor for the Endowment Board’s acceptance. The Endowment Board accepted new cash gifts of $6,048,812 received since the last Board meeting.

Chair Owens reported that the Endowment Board received an update on the NC State Investment Fund for the period ended December 31, 2015. He noted that the Market Value of Investable Assets for the Endowment Fund was $205.8 million on December 31, 2015 and the Total NCSIF Market value was $687.12 million. The Investment Fund posted a -0.2% return Fiscal Year to Date, the performance of which is on par with UNC Investment Fund’s FYTD return, and, while negative, favorably compares to the Fund’s policy benchmark of -1.6%. The 12 month return for the period ending December 31, 2015 was also favorable at 5.5%, compared with the policy benchmark of 0.6%.

Chair Owens reported that the Endowment Board received the 2015 NACUBO/Commonfund Endowment Study results for the period ending June 30, 2015. NC State ranked 98 out of 812 respondents in endowment size, with a combined market value reported of $984.0 million and a combined return of 8.34%. NC State had an increase in market value since 2014 of 11.2%, which is the largest increase among our peer institutions, and fourth largest among the 100 largest endowments.

Chair Owens stated that the Board received the Endowment Spending Budgets for Fiscal Year 2017, totaling $6 million, an increase of a little more than 3% from fiscal 2016’s $5.8 million. University-wide there
is a 7% increase in Fiscal Year 2017 spending budgets. Current year spending budgets, university wide, total $15.4 million as compared to next year’s total of $16.5 million.

Chair Owens reported that the Endowment Board received an update on the Centennial Campus Endowment Fund projects. The report covered 78 acres of land owned by the Endowment Fund. Reports on specific projects included the recently completed Alliance Center, the StateView Hotel and Conference Center, the North Shore Phase II Residential Development, the Center for Technology and Innovation, the CBC Flex Lab Building. He reported that the change in approach for the Spring Hill District was addressed.

Chair Owens stated that the Board also heard updates on the Hillsborough Street corridor, including the status of The Aloft Hotel, which opened for business in October 2015. The Endowment Board also heard about the possibility of a purchase of land from the City of Raleigh and other potential real estate opportunities for Hillsborough Street. Chair Owens noted that the Endowment Board heard and accepted the Hofmann Forest semi-annual report dated December 31, 2015.

Finally, Chair Owens announced a special recognition for Lindsay Recchie, Assistant to the Chancellor. He reported that she recently demonstrated incredible courage and compassion that is worthy of great admiration. She was presented with, and then embraced the opportunity to make a truly profound gift to a co-worker who was in great need. Chair Owens presented a resolution of appreciation from the board to recognize Mrs. Recchie’s extraordinarily heroic act. The resolution was unanimously approved by the Board. (Appendix A)

CHANCELLOR’S REPORT – W. RANDOLPH WOODSON
Chancellor Woodson reported that NC State has its first Churchill Scholar. Mia Alexa de los Reyes is one of 15 students nationwide to receive the prestigious and coveted scholarship. The Churchill Scholarship is awarded by the Winston Churchill Foundation of the United States to graduates of the more than 100 colleges and universities invited to participate in the Churchill Scholarship Program, to pursue research and study in engineering, mathematics, or the biological and physical sciences for one year at the University of Cambridge. He congratulated to Mia Alexa de los Reyes for earning such a great honor.

Chancellor Woodson also stated that Ken Swartzel, William Neal Reynolds Distinguished Professor Emeritus. He has been elected to the National Academy of Engineering (NAE), one of the loftiest distinctions accorded to an engineer. He was cited for advances in the thermal processes of food preservation. He is widely known for blending basic engineering with chemical and biological kinetics to develop new preservation processes that yield high-quality, nutritious, safe and economical foods.

Chancellor Woodson also congratulated Rudy Rodriguez, an adjunct professor in the College of Veterinary Medicine for being elected to the Bioengineering section of the National Academy of Engineering.

Chancellor Woodson reported good news from the National Association of College and University Business Officers:

- In their yearly survey, NC State rose from 102 to 98.
- Of the top 100 endowments, our total growth rate (increase in market value) was the fourth highest and of our 16 institutional peers, we had the highest growth rate.
- The total institutional return of 8.34 percent exceeded the average of 2.4 percent for all institutions.
- The five year average for endowments exceeding $1 billion was 10.4 percent and the NCSIF came in at 10.7 percent.
Chancellor Woodson gave an update on the Connect NC Bond Act. He reported that in less than a month, North Carolina voters will go to the polls to decide on a bond initiative that is critical to the future of North Carolina. He reported that this $2 billion bond referendum will provide critical support for our university system, community colleges, National Guard, agriculture, state parks, water and sewer systems and more. Its impact will benefit all of North Carolina and touch every citizen. He noted that because of the state’s financial standing, passage of the bond will not result in a tax increase. Chancellor Woodson reported that the Connect NC Bond vote will take place on March 15 and that it has been 15 years since North Carolina approved a bond to invest in the state’s infrastructure — and more than 2 million residents have been added since then. If passed, the Connect NC bond will help keep North Carolina strong now and decades in to the future. He reported that more than two-thirds of the bond will go to fund critical improvements in higher education.

Chancellor Woodson reported that $980 million will go toward capital projects that focus on STEM education, medical sciences and business for the 17 UNC system campuses. At NC State, the bond includes $160 million to support agriculture and engineering, two critical drivers of economic development and jobs across North Carolina. The bond will fund major projects to enhance academic, research and outreach opportunities through the construction of the Engineering Oval and the Plant Sciences Initiative buildings here on Centennial Campus. In addition to support from the bond, he noted that NC State has committed to raise nearly $145 million in private funds to complete these two critical projects.

The Chancellor encouraged everyone to talk with their friends and neighbors about the bond and give them the details to help them understand what it means for our state and why it is so important to the future of NC State and North Carolina.

Chancellor Woodson reported that NC State, like all universities, has challenges to overcome. In particular, NC State joins campuses and communities across the country in an important national conversation about issues of race, religion, intolerance and discrimination — critical matters that in one way or another touch all of our lives. He stated that NC State has a deep commitment to welcome and support all people regardless of age, color, disability, gender identity, national origin, race, religion, sex, sexual orientation or veteran status.

Chancellor Woodson reported that NC State strives to ensure that the environment supports and encourages the free and open exchange of ideas and opinions while also ensuring that all members of the campus community are treated with dignity and respect. He reported that NC State’s Office for Institutional Equity and Diversity (OIED) provides many diversity- and equity-related educational, training, informational and support opportunities for our campus community. In addition to existing programs and resources, the university is undertaking several new activities to address and advance diversity and inclusion at NC State. He outlined these new activities and he shared where they stand.

Chancellor Woodson stated that these are important steps toward continual enhancement of a diverse and inclusive campus environment, but ultimately it will take the entire NC State community working together to be successful. He encouraged everyone to participate in the many diversity related activities on campus and in the larger community.

**COMMITTEE REPORTS**

**AUDIT, RISK MANAGEMENT AND FINANCE COMMITTEE – CHAIR TOM CABANISS**

Mr. Cabaniss reported that Scott Douglass, the new Vice Chancellor for Finance and Administration, presented information to the committee on the University’s organizational chart.

Mr. Cabaniss recognized State Auditor, Beth Wood, who reported on the University’s financial audit. Ms. Wood complimented the University on its clean audit opinion dated June 30, 2015 and she saw no
deficiencies in internal controls. The auditors highlighted the significance of having no reportable findings, as well as the efforts of staff in this accomplishment. Mr. Cabaniss stated that Associate Vice Chancellor for Finance and Administration and University Treasurer, Mary Peloquin-Dodd, discussed the various elements that comprise the University’s 2015 Financial Report. He reported that Controller, David Price, provided highlights from the Financial Report, addressing income statement, balance sheet, and accounting standards that impact the financial statements. He stated that the University's total net position remained at $1.92 billion for fiscal 2015. Total revenues ended the year at $1.42 billion, and total expenses were $1.35 billion with a net income before capital items of $70 million. Mr. Price discussed two new accounting standards that will impact financial results.

Mr. Cabinass reported that the committee heard a report from Cecile Hinson, Director of Internal Audit on Internal Audit activities including an overview of fiscal 2016 internal audit division engagements, and the status associated with each. As of January 21, 2016 there were 22 audits in process, 9 closed, 3 completed and 5 not begun.

Mr. Cabaniss reported that Vice Chancellor Scott Douglass and Ms. Peloquin-Dodd provided the Committee with an overview of the economic and fiscal outlook for the State of North Carolina. The State’s economy is on target for moderate, steady growth. He noted that the job market is stronger, with an unemployment rate of 5.6%, but wages are stagnant. The state’s revenue estimates are 1.2%, or $120 million, above its targets through December 2015. The fiscal 2016 projected budget is $1.48 Billion and the top three revenue resources are State Appropriations; Contracts and Grants; and Tuition and Fees. He reported that key areas of expenditures are Instruction; Organized Research; and Institutional/Facilities support. Salaries and benefits account for 62% of the total budget. Mr. Cabaniss reported that concerns about next year’s (fiscal 2017) are the possibility of a large management flex cut and a possible cut in state appropriations for development salaries. There is also concern about the North Carolina Guaranteed Admissions Program (NCGAP).

Mr. Cabaniss reported that the committee heard risk management and compliance updates. He noted that Associate Vice Chancellor for Facilities, Steve Arndt, provided the Committee with an overview of utilities on campus. He reported that Mr. Arndt addressed the risks of electric utility disruption and various mitigation actions taken in response to the risk. Mr. Cabinass reported that Deputy General Counsel, Robert Hoon, and the University's new Compliance Manager, Brad Trahan, provided an update on compliance and demonstrated the new compliance website.

Mr. Cabaniss reported that the committee heard the annual report on endowment and investments from Associate Vice Chancellor and Treasurer Mary Peloquin-Dodd. The University reported an endowment of $984 million at the close of fiscal 2015 and a total combined investment return for all University-related endowment of 8.34%. This performance compared favorably with results for 814 endowments in the annual NACUBO survey.

**BUILDINGS AND PROPERTY COMMITTEE - CHAIR RANDY RAMSEY**

Mr. Ramsey reported that the committee reviewed and approved one property matter that requires Committee approval. It is:

- Acquisition by Lease of approximately 8,600 square feet of office space for Distance Education and Learning Technology Applications (DELTA) at 2401 Research Drive on Centennial Campus with Keystone Corporation for a term of seven years with a three year renewal option.

Mr. Ramsey reported that the committee approved 16 Designer selections and 1 construction manager at risk selection. The committee accepted 3 completed buildings and projects at a combined value of $3.3 million that included Carmichael Gym Locker Room and Fitness Room 1201 at a value of $2 million. He
noted that the committee approved 8 plans and specifications of formal projects costing less than $2 million and that they received updates about capital projects and projects in planning.

Mr. Ramsey reported that the committee received a detailed deferred maintenance report. He stated that the University has a building backlog of $379 million with surveyed deficiencies increasing $10 million per year. Critical system deficiencies such as HVAC, electrical, fire/life safety and plumbing contribute to 69 percent of the backlog. In the next 5 years, 81 percent of the backlog will become critical.

He reported that building reinvestment is 40 percent below benchmark for research intensive universities and current reinvestment levels are insufficient to reduce the rising backlog. He noted that failing infrastructure does not support the university strategic plan. Mr. Ramsey reported that the recommended next steps are as follows:

- Assign an annual cost to continued deferral of maintenance and renewal backlog.
- Establish annual funding target to stabilize deferral.
- Advance the deferred maintenance capital renewal issue to the Board of Governors.
- Develop alternate funding strategic plan.
- Make capital reinvestment high on the legislative agenda.
- Develop a strategic plan for capital needs.

UNIVERSITY ADVANCEMENT AND EXTERNAL AFFAIRS COMMITTEE - CHAIR JIMMY CLARK

Mr. Clark reported that Director of Athletics Debbie Yow and Executive Director of the Wolfpack Club Bobby Purcell updated the Committee on the Wolftracks Program at Reynolds Coliseum and a naming proposal that was approved in a previous meeting. He stated that the fundraising program will offer 700 illuminated wall plaques at $5,000 each, with space for 330 characters per plaque for personalization. He noted that the installation will use state-of-the-art materials and will be installed in August as the Reynolds project is completed.

Mr. Clark reported that consultants with Simpson Scarborough joined the meeting via conference call and provided an update on the firm’s work on our campaign communications plan. They shared that the “Think and Do,” brand is overwhelmingly popular with our alumni but not yet widely known. They also shared mock-ups of possible campaign themes, some which could be a tag on to “Think and Do”, and others which could stand alone. Mr. Clark noted that the process of vetting and developing the theme is still in progress, and their final recommendations will be completed in time for the April board meeting.

Mr. Clark reported that Vice Chancellor Brian Sischo and Associate Vice Chancellor Francine Cronin provided University Advancement and fundraising and campaign updates, respectively. VC Sischo shared that as of December 31, the University’s Endowment had reached the one billion dollar mark.

Mr. Clark reported that VC Sischo provided a summary of fundraising to date for the fiscal year, and overviewed giving in the campaign by gift level.

He reported that Associate Vice Chancellor Cronin shared an update on planning underway for the formal public launch of the campaign on Friday, October 29, that will be the culmination of Homecoming week, Foundation Board meetings, and academic symposia, among other activities and events designed to bring hundreds of NC State alumni to campus. Mr. Clark stated that she also shared with the committee an organization chart of the campaign volunteer structure and discussed planning that is well under way for a Campaign Volunteer Leadership Summit, to be held June 16 – 17. Mr. Clark reported that the campaign total raised to date is $824 million.

Mr. Clark stated that in Closed Session, the Committee reviewed and approved one naming proposal to name specific university programming. He noted that board will review the naming proposal in closed session.
UNIVERSITY AFFAIRS COMMITTEE – CHAIR SUSAN WARD

Mrs. Ward reported that Senior Vice Provost Louis Hunt provided a report on graduation trends, including the number and types of degrees awarded, as well as graduation rates for undergraduate students. The report showed that the university is making progress in undergraduate retention and graduation rates. In addition, during the past ten years there has been significant growth in the number of degrees awarded: 24% growth in bachelor’s degrees, 57% growth in master’s degrees and 39% growth in all doctoral degrees.

Mrs. Ward reported that the Committee heard a report from Vice Chancellor Al Rebar who presented the biennial report on NC State’s Centers and Institutes. She noted that NC State is home to 33 Centers and 11 Institutes which engage more than 1,000 faculty, more than 8,000 graduate and undergraduate students and 160 industry partners in developing collaborative solutions for North Carolina, the nation and beyond.

Mrs. Ward stated that the Committee approved the request to continue The Ergonomics Center of North Carolina, which has completed the required periodic review of activities in accordance with university regulations. The committee also recommended several degree-related items that require approval by the full board. She reported that the Committee recommended approval to add a new site for the existing Doctoral Program in Adult and Community College Education (Ed.D) at Wake Technical Community College, effective summer 2017. This program was approved as a site based program in 2005 and is currently approved for the UNC-Charlotte Graduate Center. She noted that Wake Tech is very interested in housing the cohort program and their administrators are supportive and willing to be involved where appropriate. The target audience will be current or anticipated community college faculty and administrators who will fill the critical need to build a pipeline of future leaders for North Carolina’s community colleges.

Mrs. Ward reported that the committee also recommended a title change for the on-campus and distance education programs for the Master of Science and Master of Family Life and Youth Development requested by the College of Agriculture and Life Sciences. The two degrees will be renamed: Master of Science and Master of Youth, Family and Community Sciences to parallel the department name which was changed in 2014. She noted that current students will have the option to adopt the current program title or adopt the new title and students entering the program after the proposal is approved will ascribe to the new title. A motion was made for approval of these two degree program requests, the motion was seconded by Mr. Murphy. The motion passed.

Mrs. Ward stated that the Committee also approved the updated Department of Athletics Wrestling Assistant Coach Bonus Structure, as required per Non-Salary and Deferred Compensation Policy 05.15.03.

Mrs. Ward reported that the committee heard a report from Student Body President Khari Cyrus on new and on-going student government initiatives and campus life events. She noted that a few upcoming events include the February 27 Dance Marathon, which raises money for Duke Children’s Hospital; Diversity Education week scheduled for March 14-18; and student government elections taking place on March 1.

Mrs. Ward reported that in the Provost’s update the committee received information on several items:

- Graduate Certificate Programs: The Department of Youth, Family and Community Sciences is streamlining six graduate certificate programs into two: Leadership and Volunteer Management and Family Life Education and Coaching. Also, a joint interdisciplinary graduate certificate program between the Colleges of Engineering and Sciences has been established in Data Science Foundations.
Leadership Position Searches: On-campus interviews are being conducted this month for the Dean of the College of Education. The Nomination Committee for the Dean of the College of Design is scheduled to recommend finalists for campus interviews to occur at the end of March and the first week of April.

The Nomination Committee for the Vice Provost for Institutional Equity and Diversity is scheduled to recommend finalists for campus interviews to occur in mid-March.

Leadership Reviews: Three comprehensive five-year leadership and program reviews are occurring this semester for Dean Martin-Vega and the College of Engineering, Senior Vice Provost Louis Hunt and the Enrollment Management and Services unit and Vice Provost Alice Warren and the McKimmon Center for Extension and Continuing Education division.

Reappointment, Promotion and Tenure Process: The annual university reappointment, promotion and tenure process is well underway with 118 faculty members submitting dossiers for this year's review process. Faculty will be notified about the outcome of the review at the end of April.

Chancellor's Faculty Excellence Program: The Chancellor's Faculty Excellence Program has hired 41 faculty members. The eight new clusters are bringing candidates to campus and working actively towards offers.

Mrs. Ward reported that in closed session, the committee approved a head coach employment agreement, four non-salary compensation requests, and four conferral of tenure requests. She reported that the committee recommended for approval by the Board of Governors salary increases that were greater than 15% and $10,000 from the employee's previous June 30 salary. The Committee also endorsed a petition regarding political activity and made recommendations for awarding of the Holladay Medal. These recommendations will be considered by the full board in closed session at the conclusion of this meeting.

**BOARD OF VISITORS REPORT – CHUCK FLINK**

Chair Flink began by thanking Dwayne Washington for his five years of service. He noted that in their last meeting, they thanked Dell Murphy for his eight years of service on the Board of Visitors (BOV) and that Chancellor Woodson introduced new members of the leadership team at NC State: Dr. Alan Rebar, Vice Chancellor for Research, Innovation and Economic Development and William Ditto, Dean for the College of Sciences. He noted that the Chancellor and Provost Arden announced that NC State was conducting national searches for the position of Dean for four Colleges: Design, Education, Management and Textiles.

Chair Flink reported that Chair Owens provided an overview of the Board of Trustees activities, including the election of new officers and an update on the capital campaign. He stated that Dr. Owens emphasized that input and contributions from the Board of Visitors are important to the Trustees. Chair Flink reported that the BOV heard an in-depth presentation on the budget from Chancellor Woodson that was approved by the North Carolina General Assembly.

Chair Flink reported that Union County Representative Dean Arp provided an informative and engaging presentation on the “Connect NC” bond proposal. He noted that Representative Arp stated that interest rates are at historic lows and there will most likely not be a better time for the state to approve this bond proposal. Chair Flink reported that Representative Arp asked that the Board of Visitors support the bond by recommending a yes vote among their constituents.

Chair Flink reported that the Board of Visitors heard a Chancellor's Faculty Excellence Program update from Provost Arden. When the program was launched (Cohort 1) there were 12 clusters that included 38 new positions. Cohort 2 provided 8 clusters and 33 new positions. There have been 41 new hires to dates, within all 12 Colleges, with a total cost of $32 million. Chair Flink stated that an important goal of the program is a “cultural shift at NC State.”
Chair Flink reported that Dr. Fred Gould and Dr. Jason Delborne provided a presentation on the Genetic Engineering and Society Cluster. He noted that the focus was on genetic engineering and the combination of policy social issues ethics, molecular and population genetics and ecology to address modifications to the mosquito population.

Chair Flink reported that Women’s Head Basketball Coach Wes Moore provided an engaging, entertaining and informative overview of the basketball program.

**CHAIR OF THE FACULTY REPORT – JEANNETTE MOORE**

Dr. Jeannette Moore gave the following updates that have been discussed at the full Faculty Senate:

- Faculty Giving Campaign
- Enrollment 2015 Projections: Process and Updates
- Adoption of the Best Practices in Shared Governance document
- Campus Safety During an Emergency
- Resolution of Appreciation for Chancellor and Mrs. Woodson for their generous donation to NC State University that will initiate the tuition scholarship for dependents of faculty and staff
- Athletics and Academics
- Student Perspectives in Regards to Diversity

Dr. Moore then reviewed topics scheduled for discussion in upcoming Faculty Senate meetings.

Dr. Moore reported that the Fall General Faculty Meeting was held on October 20, 2015. Following the signing of the Faculty Ombuds Charter (Roy Baroff, Chancellor Woodson, Provost Arden, Chair Moore), Chancellor Woodson and Provost Arden presented "The Future of Our University in a Rapidly Changing Environment." The Spring General Faculty Meeting is scheduled for March 1, 2016.

Dr. Moore reported that the Faculty Senate Executive Committee reviewed the beta test module on Post Tenure Review (PTR) Training that was created by General Administration (GA). Feedback provided to GA from NC State University was echoed by faculty senators across the system who were involved with the beta test. Comments included: make it shorter (it takes one hour to complete), change the level of presentation from elementary to a level appropriate for tenured faculty, and make it ADA compliant. She reported that the module has been distributed to campuses for implementation, and no changes were made from the beta test version. There is a possibility for a "2.0" version to come out for next year, but all faculty who are involved in PTR this spring will be required to complete the same one-hour module the beta test faculty had serious concerns with.

Dr. Moore ended her report with a Faculty Senate website update. She stated that it will be revamped to be in compliance with the new university security upgrades. It is planned to have it match the format recently adopted by the university, and there will be a change in the web address (moving from www.ncsu.edu/faculty_senate/ to facultysenate.ncsu.edu). The new site will be developed during spring semester with a planned implementation for summer 2016.

**CHAIR OF THE STAFF SENATE REPORT – WYONA GOODWIN**

Ms. Goodwin reported that the NC State Staff Senate has been extremely active and intentional in their communication efforts this year. They send out a weekly on-line newsletter highlighting staff news and events resulting in a 50% open rate. She noted that many staff are sharing their appreciation for our efforts in helping them stay informed.

Ms. Goodwin gave an update about events that occurred since the November 13, 2015 Board of Trustees meeting:
• “The Wolfpack Toy Drive”. Donations collected supported some of our employee and student families as well as the annual Marine toy drive. Over 20 boxes of toys were collected and over 15 staff and students received toys for their children
• Staff Senate hosted Employee Appreciation Day in partnership with Athletics, during the NC State vs. UNC Women’s basketball game. More than 200 employees, along with their families and friends, came out in support
• Staff Senate began their recruitment campaign to encourage employees (SHRA and EHRA) to run for a Senate seats open in all districts
• The Bylaws are being amended for recommendations to the Chancellor for his approval
• Staff Senate continued hosting a series of “Lunch and Learn” sessions across campus with topics of interest for staff
• Employee Forums are continuing to take place in divisions and colleges. They have been receiving positive feedback regarding their appreciation for our efforts in helping employees to work more collaboratively with their department/division leadership
• Staff Senate will continue participating in community engagement projects, such as Habitat for Humanity and volunteering at the NC State Food Pantry

CLOSED SESSION
With no further business in open session, Mrs. Ward made the motion, seconded by Mr. Murphy, at 10:48 a.m. 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 and to prevent the premature disclosure of an honorary award. The motion passed.

RECONVNE IN OPEN SESSION
At 11:30 a.m., the board came out of closed session. A motion was made by Ms. Ward seconded by Mr. Murphy, to approve the request for political activity as discussed in closed session. The motion passed. With no further business in open session, Chair Owens adjourned the meeting at 11:31 a.m.

Respectfully submitted,

_______________________              _____________________
Assistant Secretary    Secretary

Approved:

_______________________
Chair of the Board
NORTH CAROLINA STATE ETHICS COMMISSION

SAMPLE
ETHICS AWARENESS & CONFLICT OF INTEREST REMINDER
(to be read by the Chair or his or her designee at the beginning of each meeting)

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.
Innovative Students
As always, NC State prides itself on nourishing an innovative spirit in all of its students through extensive education and research opportunities. Multiple engineering students have been featured for their respective projects. Trey Camp, a sophomore in mechanical engineering, has built and tested an electric longboard for quicker movement across campuses. Camp is looking to improve upon his creation and has started his own company, DAR Boards, to help manufacture and sell his battery-powered skateboards.

A group of seniors majoring in chemical and biomolecular engineering have taken their class project to a new level. As co-founders of BloomUnique, Avi Aggerwal, Kalyani Joshi, Klaudia Kozek and Christianna Carter have begun working on more adaptations for their customizable necklace. The girl’s design allows women to make multiple necklaces from the same components, offering an affordable way to accessorize any outfit.

Natural Resources Class Honored by City
Dr. Gary Blank and the Natural Resources 100 Class will be awarded the Fred Fletcher Award for Outstanding Community Service in early May. The Fred Fletcher Awards for Outstanding Volunteerism in the City of Raleigh have been given by the Raleigh Parks, Recreation and Cultural Resources Department since 1996 to honor citizens, non-profits, community programs and businesses for their efforts in improving their community. The 367 NC State students enrolled in the class have been involved with 16 different projects, racking up a total of 734 hours volunteered.

NCSU Librarian named “Mover & Shaker”
Jason Evans Groth was selected by Library Journal as a 2016 “Mover & Shaker” for his innovative methods of combining traditional scholarship and multimedia experiences. This award recognizes individuals who have developed creative, engaging ways to utilize the different aspects of libraries across the nation. Evans Groth is NC State’s ninth “Mover & Shaker” in eleven years.

Rodolphe Barrangou’s Accolades
Dr. Rodolphe Barrangou has recently been recognized by multiple organizations for his work with CRISPR, a revolutionary gene-editing technique with countless applications in the fields of biotechnology, food and agriculture production, and medicine. Dr. Barrangou has received the Warren Alpert Prize and the Canada Gairdner International Award for his research with CRISPR. Given the potential for the CRISPR system, Dr. Barrangou will undoubtedly continue to receive impressive distinctions. His research in DNA-based immune system in bacteria has some very far-reaching implications for human health.
Zhen Gu Receives Funding for Diabetics Research
Dr. Gu is an assistant professor in NC State's joint biomedical program with UNC-Chapel Hill. In late February, Dr. Zhen Gu was named a 2016 Alfred P. Sloan Research Fellow for chemistry due to his extensive research on developing more effective and efficient treatment delivery methods for diabetics and cancer-patients. It was announced in early March that Dr. Gu will receive a part of $4.6 million to fund further research into his Glucose-Responsive Smart Insulin Patches. This grant money, provided by JDRF and Sanofi, will allow Dr. Gu to continue his potentially life-altering research projects and no doubt lead to further developments in diabetic treatment methods.

New Dean of College of Education
Dr. Mary Ann Danowitz was named the dean of NC State’s College of Education, effective April 1, 2016. Since joining us in 2012, Dr. Danowitz has greatly strengthened the department through her leadership initiatives, relationship development, and reorganization efforts. She has served as the interim dean since July of 2015.

Growing Research on Women of Color (GROW) Project
Under the White House-led initiative titled the Collaborative to Advance Equity through Research, NC State has launched the GROW Project, a five-year commitment to conduct research that focuses on women and girls of color. Dr. Blair Kelley, assistant dean for interdisciplinary studies and international programs in the College of Humanities and Social Sciences, will lead the GROW Project.

Under Dr. Kelley’s guidance, NC State will recruit researchers from all disciplines to offer a wide range of perspectives on this under-researched topic in efforts to provide a thorough understanding of the problems facing women and girls of color. These researchers will have an opportunity to learn more about the project and see potential avenues for collaboration with other researchers during the Advancing Justice for Women and Girls of Color Conference at Wake Forest in late April.

Wolfpack Wrestling Record Season
The NC State Wrestling team has had one of its best seasons to date this year, with two of its members finishing the regular season undefeated. The team sent a program-tying eight wrestlers to New York for the NACC Championships, including senior Nick Gwiazdowski who has won the national title the past two years. Gwiazdowski finished as the 2016 Runner-up and a four-time All-American wrestler. Wolfpack Wrestling continued its climb in the rankings and finished 11th overall with three of its wrestlers named All-American.
CALL TO ORDER
Tom Cabaniss, Chair of Committee

ROLL CALL
Tom Cabaniss, Chair of Committee

READING OF STATE GOVERNMENT ETHICS ACT CONFLICT OF INTEREST STATEMENT
Tom Cabaniss, Chair of Committee

1. APPROVAL OF MINUTES
   Approval of February 18, 2016 Minutes

2. ACTION ITEMS
   A. Approval of Internal Audit Plan for Fiscal Year 2017
      (NC State Policy 01.05.1, Appendix 1, I.a.ii)
      Office of Internal Audit
      Cecile Hinson, Director, Internal Audit

3. INFORMATIONAL REPORTS
   A. Internal Audit Update
      (NC State Pol 01.05.1, Appendix 1, I.a.iii, I.a.iv, I.a.v)
      Office of Internal Audit
      Cecile Hinson, Director, Internal Audit
   B. Finance/Budget and Legislative Update
      (UNC Pol, Ch. 100.1, Appendix 1 (V) (NC State Pol 01.05.1, Appendix 1, I.b, I.d.i)
      Office of Finance and Administration
      Scott Douglass, Vice Chancellor for Finance and Administration
      Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Administration
      and University Treasurer

✓ Denotes full Board approval required
C. Annual Review of Associated Entities 4.3C
   (NC State Policy 01.05.1, Appendix 1, I.a.ix)
   Office of University Treasurer
   Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Administration
   and University Treasurer

D. University Debt Update 4.3D
   (NC State Pol 01.05.1, Appendix 1, I.b, I.d.i)
   Office of University Treasurer
   Lori Johnson, Director, Strategic Debt and Financial Management

E. Enterprise Risk Management and Compliance Update 4.3E
   (NC State Pol 01.05.1, Appendix 1, I.a.vii, 1.c.i, 1.c.ii)
   Strategic Risk No. 4: Faculty Loss
   Office of the Provost
   Warwick Arden, Provost and Executive Vice Chancellor

4. COMMITTEE DISCUSSION  TAB 4.4

5. ADDITIONAL INFORMATIONAL MATERIALS  TAB 4.5
   A. NC State Investment Fund Performance Review 4.5A
      (NC State Pol 01.05.1, Appendix 1, I.d.i)
   B. NC State Intermediate Term Fund Performance Review 4.5B
      (NC State Pol 01.05.1, Appendix 1, I.d.i)

ADJOURN

✓ Denotes full Board approval required
Chair Cabaniss opened the meeting at 1:00 p.m. in the Winslow Hall Conference Room. Committee members present for the meeting were:

Mr. Tom Cabaniss, Chair  
Mr. Chip Andrews  
Mr. Khari Cyrus  
Ms. Susan Ward  
Mr. Dewayne Washington

Others present were:

Mr. James W. Owens, BOT Chair  
Dr. Warwick Arden, Provost and Executive Vice Chancellor  
Mr. Steven Arndt, Associate Vice Chancellor, Facilities Division  
Ms. Angkana Bode, Staff Senate  
Mr. Jack Colby, Assistant Vice Chancellor for Facilities Operations  
Mr. Scott Douglass, Vice Chancellor, Office of Finance and Administration  
Ms. Eileen Goldgeier, Vice Chancellor and General Counsel, Office of General Counsel  
Ms. Wyona Goodwin, Staff Senate Chair  
Ms. Cecile Hinson, Director of Internal Audit  
Dr. Marc Hoit, Vice Chancellor, Office of Information Technology  
Mr. Robert Hoon, Deputy General Counsel, Office of General Counsel  
Mr. Calvin Jackson, Technology Support Analyst, Technology Support Services  
Ms. Leanne McLoughlin, Assistant State Auditor, Office of State Auditor  
Ms. Kimberly Miller, Assistant Controller, Controller’s Office  
Ms. Barbara Moses, Interim Associate Vice Chancellor for Finance and Resource Management  
Ms. Amy Mull, Director of Planning and Communication, Office of Finance and Administration  
Ms. Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Business and University Treasurer  
Dr. Alan Rebar, Vice Chancellor, Office of Research, Innovation and Economic Development  
Mr. David Price, University Controller, Controller’s Office  
Ms. Jill Tasaico, Senior Director, Foundations Accounting and Investments  
Ms. PJ Teal, Assistant to the Chancellor, Chancellor’s Office  
Mr. Brad Trahan, University Compliance Manager, Office of General Counsel  
Ms. Beth Wood, State Auditor, Office of State Auditor

Chair Cabaniss 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. There being none, the meeting continued.

Chair Cabaniss asked if there were any changes to the minutes from the November 12, 2015 meeting as presented. Ms. Susan Ward made a motion to accept the minutes and Dewayne Washington seconded. The minutes were approved.
Chair Cabaniss asked everyone to introduce themselves. He introduced Scott Douglass, the new Vice Chancellor for Finance and Administration. Mr. Douglass presented information to the committee on the University’s organizational chart as well as the Office of Finance and Administration.

Chair Tom Cabaniss recognized State Auditor, Beth Wood, who reported on the University’s financial audit. The State Auditor complimented the University on its clean audit opinion as of June 30, 2015. They saw no deficiencies in internal controls. The auditors highlighted the significance of there being no reportable findings, as well as the efforts of staff in this accomplishment.

Associated Vice Chancellor for Finance and Administration and University Treasurer, Mary Peloquin-Dodd, discussed the various elements that comprise the University’s 2015 Financial Report. Ms. Peloquin-Dodd stated that the report is prepared by the University Controller’s office and the financial statement and accompanying notes are audited. She highlighted components of the report, including the Statement of Net Position, Statement of Revenues, Expenses, and Changes in Net Position, and Statement of Cash Flows. She explained that University Controller David Price would provide further detail but wanted to familiarize the committee with aspects of the report.

University Controller David Price provided highlights from the Financial Report, addressing income statement, balance sheet, and accounting standards that impact the financial statements. The University’s total net position remained at $1.92 billion for fiscal 2015. Total revenues ended the year at $1.42 billion, and total expenses were $1.35 billion with a net income before capital items of $70 million. Mr. Price discussed two new accounting standards that will impact financial results. All governmental entities and public universities were required to implement GASB 68 in fiscal year 2015. Effective fiscal year 2018, GASB 75 will be required.

Cecile Hinson, Director of Internal Audit, discussed the mid-year summary of Internal Audit activities provided in the Committee’s materials and including an overview of fiscal year 2016 Internal Audit Division engagements (audits, investigations, follow-ups, consulting projects, and special assignments) in relation to the fiscal year Audit Plan. As of January 21, 2016 there were 22 engagements in process, nine (9) engagements closed, three (3) completed, and five (5) not begun.

Ms. Hinson then provided an update of specific engagements since the September meeting including a discussion of a recently completed audit, Data Security Controls Related to Peripheral Devices. One issue was reported regarding maintaining a comprehensive inventory of devices and the need to secure erasure of stored data on the devices being retired or transferred to new locations. She also updated the status of current activities in progress: 6 reports, 3 audits, and 10 follow-ups to prior year issues reported.

Mr. Douglass and Ms. Peloquin-Dodd provided the Committee with an overview of the economic and fiscal outlook for the State of North Carolina. The State’s economy is on target for moderate, steady growth. The job market is stronger, with an unemployment rate of 5.6%, but wages are stagnant. The state’s revenue estimates are 1.2%, or $120 million, above its targets through December 2015.

The University’s fiscal 2016 projected operating budget is $1.48 Billion and the top three revenue resources are State Appropriations; Contracts and Grants; and Tuition and Fees. Key areas of expenditures are Instruction; Organized Research; and Institutional/Facilities Support. Salaries and benefits account for 62% of the total budget.
Legislative priorities cause concerns for fiscal year 2017 with the possibility of a large management flex cut, possibly $10 Million recurring and a possible cut in state appropriations for development salaries, which could be in the range of $5.8 Million. Current language in the legislature caps the use of general fund appropriations for campus advancement activities at $1 Million per campus. There is also concern about the North Carolina Guaranteed Admissions Program (NCGAP) and the limiting impact it will cause.

The committee heard an information report from Associate Vice Chancellor for Facilities, Steve Arndt, regarding an overview of utilities on campus. There are three transmission level substations on campus. On Main Campus there is a 50 MW substation that the university owns but contracts with Duke Energy Progress for maintenance. All major building have university sub-meters. Stand-alone buildings are fed from Duke Energy Progress and metered separately.

Mr. Arndt addressed the risks of electric utility disruption and various mitigation actions taken in response to the risk. Four major risk mitigation strategies include highly reliable transmission grade service that has 99.99% availability, redundant transformer banks at Centennial and Main Campus, looped distribution cables and switches that isolate faults quickly and spare equipment stocks for immediate replacement. In addition NC State has a mutual assistance agreement with UNC-Chapel Hill. The university has 129 emergency standby generators that would provide some level of standby power for building activities such as research.

Deputy General Counsel, Robert Hoon, introduced Brad Trahan as the new University Compliance Manager and referenced the position description in the committee materials. Mr. Trahan provided an update on compliance and demonstrated the new compliance website. He highlighted the compliance and integrity program, and provided an overview of the accountability expectations for compliance owners and partners. He also shared reporting resources such as the Compliance Hotline and other ways individuals can report concerns and complaints.

Ms. Peloquin-Dodd reported on the University endowment which reported to NACUBO was a value of $984 million at the close of fiscal 2015 and a total combined investment return for all University-related endowment of 8.34%. This performance compared favorably with results for 814 endowments in the annual NACUBO survey. NC State had an increase in market value of 11.2%, which is the largest among our peers.

Chair Cabaniss referenced informational materials provided to the committee. These included organizational charts for the University and the reference to the University’s updated credit ratings of “AA” and “Aa1”.

With no further business, the Committee adjourned at 2:35 p.m.
NORTH CAROLINA STATE UNIVERSITY
INTERNAL AUDIT DIVISION

AUDIT PLAN
FISCAL YEAR 2017

Photo by Nancy Burgart
# Audits

<table>
<thead>
<tr>
<th>Audits</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title IX</td>
<td>The objective of the audit is to assess the University’s compliance to the federal Office of Civil Rights Title IX requirements relating to sexual violence in the student population.</td>
</tr>
<tr>
<td>Clery Act</td>
<td>The objective of the audit is to assess compliance with elements of the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) which requires institutions of higher education to prepare and make accessible policy statements and statistics about specific crimes committed on campus.</td>
</tr>
<tr>
<td>Non-Salary Year End Transfer of Expenses</td>
<td>The objective of the audit is to test non-salary year end transfer of expenses for allowability, allocability, and appropriateness.</td>
</tr>
<tr>
<td>Assessment of Colleges’ Research Support Structure</td>
<td>The objective of the audit is to assess the research support structures at each of the University’s Colleges. Particular focus will be given to the efficiency and effectiveness of customer support and ability to adapt to the growing and changing University research environment.</td>
</tr>
<tr>
<td>University Business Operations Division Travel Center Process Pilot</td>
<td>The objective of the audit is to assess the travel center process currently being piloted by the University Business Operations Division for potential expansion campus-wide. This will include testing of internal controls, appropriateness of assigned roles and accountability, comprehensive guidance and training, and review of proposed campus-wide rollout.</td>
</tr>
<tr>
<td>Information Technology Network Infrastructure Maintenance</td>
<td>The objective of the audit is to assess the Office of Information and Technology’s practices for maintaining the University’s network device infrastructure.</td>
</tr>
<tr>
<td>Security Applications and Technology (SAT) Services</td>
<td>The objective of the audit is to assess the processes and related controls governing the system used by SAT in providing physical access controls for campus locations.</td>
</tr>
</tbody>
</table>
### Fiscal Year 2016 Audits Carried Forward

The Audit Plan includes estimated time for audits that are still in process as of July 1, 2016.

### Investigations

The Audit Plan includes estimated time for due diligence and investigation of allegations reported through the Internal Audit Division Hot Line, the Office of the State Auditor Hot Line, or other internal and external sources.

### Follow-up Audits

IAD performs follow-up audits on all audit issues subsequent to the issuance of audit reports by our office or the Office of the State Auditor. As of March 8, 2016, corrective actions for issues noted in the following audit reports will be followed up in fiscal year 2017:

- College of Sciences – Mathematics Grant Funds Investigation
- Controls over Purchase Cards (PCards)
- Data Security Controls Related to Peripheral Devices
- Division of Academic and Student Affairs – Information Technology General Controls
- Non-Instructional Summer Salary Performance Audit – Effectiveness of Faculty Training
- Office of the State Auditor Information Technology – Audit Letter Issued to the Vice Chancellor for Information Technology
- Office of Information Technology – Infrastructure, Systems, and Operations: Virtual Computing Services
- Office of the State Auditor Fiscal Year 2014/2015 Financial Statement Audit, Information Technology Controls Segment
- University Network Firewall Protection Service Audit
<table>
<thead>
<tr>
<th>Consulting</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletics Summer Camps and Clinics – Financial</td>
<td>As recommended in Athletic’s NCAA required, “Review of Certain Components of the Athletics Department’s Compliance Program,” Internal Audit will consult with the Compliance Program to analyze the completion and submission rate of financial record reporting forms required of the privately owned summer camps and clinics.</td>
</tr>
<tr>
<td>College of Sciences Audit of Department of</td>
<td>Internal Auditor is consulting with College of Sciences in their internal review of Mathematics grant resulting from the College of Sciences – Mathematics Grant Funds Investigation (see Follow-Up Audits section above).</td>
</tr>
<tr>
<td>Mathematics Grant</td>
<td></td>
</tr>
<tr>
<td>Office of Information Technology Security</td>
<td>Director and Information Technology Auditor are providing advisory and consulting services for Office of Information Technology Security and Compliance to assist in the development of the Security Roadmap.</td>
</tr>
<tr>
<td>Roadmap</td>
<td></td>
</tr>
<tr>
<td>Power America Institute</td>
<td>Director and Information Technology Auditor are consulting with the Office of Research, Innovation and Economic Development and Power America Institute regarding governance, business operations, compliance, and security.</td>
</tr>
<tr>
<td>Student Development, Health, and Wellness Risk</td>
<td>Director and Operational Audit Manager are consulting with the Vice Provost of Student Development, Health and Wellness to evaluate strategic risk within the Department.</td>
</tr>
<tr>
<td>Management Consultation</td>
<td></td>
</tr>
<tr>
<td>Various Minor Consulting Activities</td>
<td>Time is allowed on the Audit Plan for consulting activities lasting less than 1 hour and up to 3 days.</td>
</tr>
<tr>
<td>Special Assignments</td>
<td>Description</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>Revise Information Technology (IT) Governance Steering Committee</td>
<td>Director is on the steering team to redesign the Office of Information Technology University-wide IT governance structure.</td>
</tr>
<tr>
<td>University Information Technology Strategic Advisory (ITSAC) Committee and Security Subcommittees</td>
<td>Director is a member of the ITSAC, the University-wide, top-level committee of non-Information Technology personnel whose intended focus is to ensure that the University makes the best possible decisions in advancing the use of technology to meet its mission, vision and goals. Additional consulting activities are performed by the Information Technology Auditor who provides objective, independent input to several of the ITSAC subcommittees.</td>
</tr>
<tr>
<td>University-wide Information Technology Risk Assessment</td>
<td>Director and Information Technology Auditor are working with the Office of Information Technology Security and Compliance to ensure a comprehensive risk assessment of the University Information Technology environment.</td>
</tr>
</tbody>
</table>
Audit Risk Universe

Current best practices relating to development of the audit universe contend that a risk-based internal audit function considers all risks that affect their enterprise, not just the "auditable risks." Specifically, at NCSU, this broader concept of the audit universe begins with the core elements of the NC State Mission: academics, research, and engagement. The NC State Internal Audit Division (IAD) identifies three integral activities necessary for the achievement of our mission:

1) *Governing* - performed by our University leadership team and the Board of Trustees who set the direction and ethical expectations for University constituents
2) *Doing* - performed by our faculty, engagement agents, and staff around the globe
3) *Supporting* - performed by University units through various processes and practices carefully designed to manage risk and ensure the University meets its goals, objectives, and requirements

The risks involved in mission-critical activities and the ways in which they are mitigated are the focus of our Risk Assessment (RA) Process that leads to the development of our Audit Risk Inventory and our Audit Plan. (See Audit Risk Universe, page 7).

Risk Assessment Process

IAD continuously perform risk assessment activities across the Audit Risk Universe to identify areas of high risk to the University “enterprise” in relation to its achieving both its strategic and tactical goals and objectives. These risks are tracked in the Audit Risk Inventory. The RA process is at the core of our audit and consulting engagements and is used as an objective tool in the development of our risk-based Audit Plans. Our Audit Risk Inventory is composed of exposures relating to the University’s governance, operations, and information systems and touch on such components as the:

- Reliability and integrity of financial and operational information
- Effectiveness and efficiency of operations
- Safe-guarding of assets
- Compliance with University and UNC System policy
- Compliance with legal, regulatory, and contractual obligations
- Detection and prevention of fraud

Audit Plan Development

All objective and subjective information and data gathered through our continuous RA process is analyzed when received and again every six months. This on-going analysis process allows IAD to determine areas that may need immediate attention, areas that are potential near-term or future audits, and areas that we will continue to watch and monitor through our process.

Our Audit Plan reflects the results of our continuous assessment and analysis process as of the end of the first quarter of each calendar year. Each year’s Plan is presented for approval at the regularly scheduled April meeting of the NC State Board of Trustees and is implemented at the start of the new fiscal year on July 1. (See Risk Inventory and Audit Plan Development, page 8).
NCSU Internal Audit Division
Continuous Risk Assessment and Audit Planning Process
Audit Risk Universe

- Monitored Risks, 42
- Auditable Risks, 28
- FY17 Proposed, 7
- Active Audits, Investigations, and Follow-Up, 18
- Active Consulting, Special Projects, and Risk Assessment, 8
- Emerging Risks, 77
NCSU Internal Audit Division
Continuous Risk Assessment and Audit Planning Process
Risk Inventory and Audit Plan Development

Risk Inventory
- Input
  - Risk Assessment Meetings
  - Informal Conversations
  - Out of scope items from audit fieldwork
  - Allegations/Hotline
  - State & Federal Audits
  - Trends in Higher Education

Audit Planning
- Begins in February
- List of Potential Audits
- Risk Ranking
  - Risk Criteria
    - Compliance
    - Financial
    - Fraud
    - Operational
    - Reputational
    - Security
  - Likelihood & Impact Severity Analysis (1 – 5)
  - Final Score for each Potential Audit (0 – 60)

Capacity Analysis
- Estimate Project Hours per Potential Audit
- Estimate hours for follow-ups, investigations, etc.
- Estimate FTE Resources

Audit Plan
- Potential Audits with highest risk scores within capacity
NCSU Internal Audit Division
Staff Bios

**Director**
Cecile M. Hinson, CFE, CISA
Cecile joined the Internal Audit Division in February 2001. Prior, she worked for Lockheed Martin and PricewaterhouseCoopers, LLP, in the areas of financial, operational, and information technology auditing. Cecile received her Bachelor of Science in Business with an emphasis in Accounting from Meredith College. She is a Certified Information Systems Auditor (CISA) and a Certified Fraud Examiner (CFE). She is also a graduate of the NC State Equal Opportunity Institute and holds an Information Technology Audit Certificate from the MIS Training Institute.

**Operational Audit Manager**
Marie C. Knobloch, CPA, MBA
Marie joined the Internal Audit Division in November 2014. She comes with Internal Audit and Six Sigma experience in the private sector having worked for ABB, Quest Diagnostics, Talecris Biotherapeutics and Farmers Insurance among others. Marie has a Bachelor of Science in Business Administration with a concentration in Accounting from Boston University and a Master of Business Administration in International Management from Thunderbird Global School of Management. Marie is a Certified Public Accountant.

**Staff**
Nancy L. Burgart, CFE, CISA
Nancy re-joined the Internal Audit Division in October 2010. Nancy started her career at NC State working in various departments across campus, including Telecommunications, NCSU Libraries, and Internal Audit. Prior to re-joining Internal Audit, she worked as an IT Compliance Auditor in the NC Office of the State Chief Information Officer. Nancy has a Bachelor of Science in Accounting from East Carolina University. She is a Certified Information Systems Auditor (CISA) and a Certified Fraud Examiner (CFE).

S. Neil Holloway, PMP, CGFM, CFE
Neil joined the Internal Audit Division in February 2015. Previously, he worked as a financial management consultant for IBM and a performance auditor for the U.S. Department of Defense, Office of the Inspector General. Neil earned his Bachelor of Science in Accounting from Juniata College. He is a Project Management Professional (PMP), a Certified Government Financial Manager (CGFM), and a Certified Fraud Examiner (CFE).

M’Sheila R. Hawthorne
M’Sheila joined the Internal Audit Division in December 2014. She has a Bachelor of Science Degree in Accounting with a concentration in Internal Audit from NC State University.

Denise W. Hall
Denise joined the Internal Audit Division in September 2012. Prior, she worked for the Office of General Counsel on the NC State campus as an Administrative Assistant. Denise is a Certified Paralegal, a Notary, and a graduate of the NC State Equal Opportunity Institute.
NCSU Internal Audit Division
Organizational Chart

Last Updated 1/15/2016
January 22, 2016

**Via E-Mail**
Heather Hummer
UNC-General Administration
140 Friday Center Drive
Chapel Hill, NC 27517

SUBJECT: Audited Financial Reports for University Associated Entities

Dear Ms. Hummer:

In accordance with UNC Policy 600.2.5.2 [R], we have forwarded electronically to you the Fiscal Year 2015 audited financial reports of the following associated entities which support university activities:

- The North Carolina Agricultural Foundation, Inc.
- NC State Engineering Foundation, Inc.
- NC State Investment Fund, Inc.
- NC State Natural Resources Foundation, Inc.
- North Carolina State University Foundation, Inc. (includes NC State Executive Education, LLC)
- North Carolina State University College of Sciences Foundation, Inc.
- North Carolina Textile Foundation, Inc.
- North Carolina Tobacco Foundation, Inc.
- North Carolina Veterinary Medical Foundation, Inc.
- NC State University Alumni Association, Inc.
- NC State University Partnership Corporation and Affiliates (includes NC State University Centennial Development, LLC; NC State Upfit, LLC; Bell Tower Holdings, LLC; NC State CC Holdings I, LLC; NC State CBC Land I, LLC; and Leaders in Innovation and Nonwovens Commercialization, LLC)
- NCSU Student Aid Association, Inc. (includes Wolfpack Club Student Housing Foundation, LLC)

The North Carolina State University Club and the NC State Alumni Club, Inc. have a December 31 year end and once their audits are completed, they will be forwarded to you.

Sincerely,

W. Randolph Woodson
Chancellor

cc: James W. Owens, Chair, Board of Trustees
    Scott Douglass, Vice Chancellor for Finance and Administration
    Mary Peloquin-Dodd, Associate Vice Chancellor for Finance and Administration and University Treasurer
    Jill Tasaico, Senior Director, Foundations Accounting & Investments
    Cecile Hinson, Director of Internal Audit
    Jonathan Pruitt, Vice President for Finance, UNC GA
### Review of Audit Reports - University Associated Entities

**Audit, Risk Management and Finance Committee**  
**North Carolina State University**  
**June 30, 2015**

**INVESTMENT ENTITY:**
- **NC State Investment Fund, Inc.**  
  - Total Net Assets: $848,143  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes

**FUNDRAISING ENTITIES:**
- **The North Carolina Agricultural Foundation, Inc.**  
  - Total Net Assets: $151,994  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **NC State University Alumni Association, Inc.**  
  - Total Net Assets: $32,898  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **NC State Engineering Foundation, Inc.**  
  - Total Net Assets: $87,997  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **NC State Natural Resources Foundation, Inc.**  
  - Total Net Assets: $32,274  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **North Carolina State University Foundation, Inc.**  
  - Total Net Assets: $340,352  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **North Carolina State University College of Sciences Foundation, Inc.**  
  - Total Net Assets: $21,554  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **NCSU Student Aid Association, Inc.**  
  - Total Net Assets: $84,340  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **Blue Ridge Trinity, LLC (a, b)**  
  - Total Net Assets: N/A  
  - Unqualified Audit Opinion: N/A  
  - Management Letter: N/A  
  - Signed Operating Agreement: Yes
- **North Carolina Textile Foundation, Inc.**  
  - Total Net Assets: $44,015  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **North Carolina Tobacco Foundation, Inc.**  
  - Total Net Assets: $10,328  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **North Carolina Veterinary Medical Foundation, Inc.**  
  - Total Net Assets: $72,448  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes

**SOCIAL CLUB ENTITIES:**
- **North Carolina State University Club (c)**  
  - Total Net Assets: $5,499  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **The NC State Alumni Club, Inc.(c)**  
  - Total Net Assets: $47  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes

**OTHER ENTITIES:**
- **NC State University Partnership Corporation**  
  - Total Net Assets: $1  
  - Unqualified Audit Opinion: Yes  
  - Management Letter: No  
  - Signed Operating Agreement: Yes
- **NC State University Centennial Development, LLC (a, e)**  
  - Total Net Assets: $16,198  
  - Unqualified Audit Opinion: N/A  
  - Management Letter: N/A  
  - Signed Operating Agreement: Yes
- **NC State Upfit, LLC (a,e)**  
  - Total Net Assets: $2  
  - Unqualified Audit Opinion: N/A  
  - Management Letter: N/A  
  - Signed Operating Agreement: Yes
- **NC State CC Holdings I, LLC (a, e)**  
  - Total Net Assets: $317  
  - Unqualified Audit Opinion: N/A  
  - Management Letter: N/A  
  - Signed Operating Agreement: Yes
- **NC State CBC Land I, LLC (a, e)**  
  - Total Net Assets: $2  
  - Unqualified Audit Opinion: N/A  
  - Management Letter: N/A  
  - Signed Operating Agreement: Yes
- **Bell Tower Holdings LLC (a, e)**  
  - Total Net Assets: $(186)  
  - Unqualified Audit Opinion: N/A  
  - Management Letter: N/A  
  - Signed Operating Agreement: Yes
- **Leaders in Innovation and Nonwovens Commercialization, LLC (a, e)**  
  - Total Net Assets: $2,108  
  - Unqualified Audit Opinion: N/A  
  - Management Letter: N/A  
  - Signed Operating Agreement: Yes

(a) LLC’s are wholly owned by aforementioned entity  
(b) LLC was officially dissolved effective October 10, 2014  
(c) December 31 year end; numbers are as of December 31, 2014  
(d) Operating Agreement is between LLC and NC State University Foundation  
(e) Operating Agreements are between LLCs and NC State University Partnership Corporation

N/A Not applicable

*Updated agreements per amended UNC-GA Reg. 600.2.5.2[R] dated June 8, 2015 in process.
Annual Review of Associated Entities

Mary Peloquin-Dodd
Associate Vice Chancellor for Finance and Business and University Treasurer

Board of Trustees
Audit, Risk Management & Finance Committee

April 21, 2016
NC State University Associated Entities

- **Annual Reporting**
  - Per UNC-GA Policy 600.2.5.2 [R]

- **Operating Agreements**
  - UNC-GA Policy updated June 8, 2015
  - Governs University Associated Entity relationships

- **Activities**
  - Fundraising
  - Operations
## NC State University Associated Entities

**Total Net Assets vs. Endowments as of June 30, 2015**

<table>
<thead>
<tr>
<th>Entity</th>
<th>Total Net Assets in 000's</th>
<th>Endowments in 000's</th>
</tr>
</thead>
<tbody>
<tr>
<td>NC State Investment Fund, Inc.</td>
<td>848,143</td>
<td>---</td>
</tr>
<tr>
<td>North Carolina State University Foundation, Inc.</td>
<td>340,352</td>
<td>$242,700</td>
</tr>
<tr>
<td>The North Carolina Agricultural Foundation, Inc.</td>
<td>151,994</td>
<td>96,300</td>
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<td>NC State Engineering Foundation, Inc.</td>
<td>87,997</td>
<td>69,200</td>
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<tr>
<td>NCSU Student Aid Association, Inc.</td>
<td>84,340</td>
<td>26,400</td>
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<tr>
<td>North Carolina Veterinary Medical Foundation, Inc.</td>
<td>72,448</td>
<td>47,700</td>
</tr>
<tr>
<td>North Carolina Textile Foundation, Inc.</td>
<td>44,015</td>
<td>43,400</td>
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<tr>
<td>NC State University Alumni Association, Inc.</td>
<td>32,898</td>
<td>33,800</td>
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<tr>
<td>NC State Natural Resources Foundation, Inc.</td>
<td>32,274</td>
<td>27,200</td>
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<tr>
<td>North Carolina State University College of Sciences Foundation, Inc.</td>
<td>21,554</td>
<td>14,500</td>
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<td>NC State University Partnership Corporation</td>
<td>18,440</td>
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<tr>
<td>North Carolina Tobacco Foundation, Inc.</td>
<td>10,328</td>
<td>4,700</td>
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<tr>
<td>North Carolina State University Club</td>
<td>5,499</td>
<td>---</td>
</tr>
<tr>
<td>The NC State Alumni Club, Inc.</td>
<td>47</td>
<td>---</td>
</tr>
<tr>
<td>The Endowment Fund</td>
<td>---</td>
<td>378,100</td>
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<tr>
<td><strong>Totals</strong></td>
<td><strong>$1,750,329</strong></td>
<td><strong>$984,000</strong></td>
</tr>
</tbody>
</table>
Questions?
University Debt Update
North Carolina State University
Audit, Risk Management and Finance Committee
April 21, 2016

Lori Johnson
Director, Strategic Debt and Financial Management
Debt Outstanding
10 year history
Debt Outstanding by Type
June 30, 2016

FY2015 Cost of Funds = 3.65%
Debt Outstanding by Purpose
June 30, 2016

- Housing, 41.1%
- Athletics
- Centennial Campus
- Central Stores
- Dining
- Thompson Theater
- Student Health
- Housing
- Carmichael
- Transportation
- Terry Hospital
- Talley Student Union
- Energy Savings

- Energy Savings, 14.7%
- Talley Student Union, 19.9%
- Housing, 41.1%
- Athletics
- Centennial Campus
- Central Stores
- Dining
- Thompson Theater
- Student Health
- Housing
- Carmichael
- Transportation
- Terry Hospital
- Talley Student Union
- Energy Savings
Recent Activity

- Hired Financial Advisor
- Updated Debt Guidelines
- Replaced Bond Trustee
- Rate Modification on Energy Loan
- Replaced Liquidity Provider on 2003 Bonds
- Refunded 2008 Bonds with Private Placement Loan
- Created Internal Loan Application and Agreement
- System Wide Debt Capacity Study
### Upcoming Borrowing
(Estimates as of March, 2016)

<table>
<thead>
<tr>
<th>Project</th>
<th>Cost (millions)</th>
<th>Debt (millions)</th>
<th>Date</th>
<th>Source of Repayment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phytotron*</td>
<td>$6.0</td>
<td>$6.0</td>
<td>2017</td>
<td>Energy Savings</td>
</tr>
<tr>
<td>Carmichael Locker Rooms*</td>
<td>$7.6</td>
<td>$7.6</td>
<td>2017</td>
<td>Student Fees</td>
</tr>
<tr>
<td>Reynolds Coliseum*</td>
<td>$35</td>
<td>$31</td>
<td>2017</td>
<td>WPC / University Funds</td>
</tr>
<tr>
<td>Carmichael Renovation</td>
<td>$45</td>
<td>$43</td>
<td>2017</td>
<td>Student Fees</td>
</tr>
<tr>
<td>Case Commons</td>
<td>$15</td>
<td>$13</td>
<td>2017</td>
<td>WPC</td>
</tr>
<tr>
<td>Engineering Oval</td>
<td>$154</td>
<td>$47-61**</td>
<td>Est 2020</td>
<td>Gifts /Energy Savings</td>
</tr>
<tr>
<td>Plant Sciences</td>
<td>$160</td>
<td>$53-72**</td>
<td>Est 2020</td>
<td>Gifts</td>
</tr>
</tbody>
</table>

* Some or all already in Commercial Paper
** Borrowing dependent on timing of pledge receipts
Debt Outstanding
10 year history + 10 year plan
Measuring the Ten Year Capital Borrowing Plan

Actual Debt Service to Operations (%)

Policy: Less than 4%
UNC System Debt Capacity Study

- G.S.116D amended
  - Requires each campus provide an annual report on current and anticipated debt levels
  - Requires System provide annual study incorporating these reports and provide advice on estimated debt capacity

- General Administration Methodology
  - Only special obligation debt reported
  - No aggregation of debt systemwide
  - Five Year Proforma
  - Four ratios
    - Debt to Obligated Resources
    - Five Year Payout Ratio
    - Expendable Resources to Debt
    - Debt Service to Operating Expenses
North Carolina State University
Debt Management Guidelines
Revised August 2015

Summary
Debt financing, especially tax-exempt debt, provides a low-cost source of capital for the University to fund capital investments to achieve its mission and strategic objectives. Indeed, as the economic landscape continues to evolve and change, the use of debt will become an increasingly important tool that enables our institution to move its strategy forward. In this environment, appropriate financial leverage plays a key role and is considered a long-term component of the University’s balance sheet. Given that the University has limited debt repayment resources, the allocation of and management of debt is a limited resource. The guidelines provided in this document are the framework by which decisions will be made regarding the issuance of debt to finance particular capital improvements.

Authority
North Carolina General Statutes Chapter 116D Article 3 authorize the Board of Governors of the University of North Carolina (the Board) to issue special obligation bonds for improvements to the facilities of the University of North Carolina System.

Prior to a bond issue, the Board designates the capital improvements financed as “special obligation bond projects” and the University’s Board of Trustees approves the issuance of special obligation bonds for those projects.

The State Energy Conservation Finance Act, Article 8 of Chapter 142 of the North Carolina General Statutes authorizes the Board to solicit and, through G.S. 143-64.17A, finance guaranteed energy conservation measures. These financing agreements must have the approval of the Office of State Budget and Management, the State Treasurer, and Counsel of State prior to closing.

Criteria
The University’s debt capacity is a limited resource. Only projects that relate to the mission of the University, directly or indirectly, will be considered for debt financing. In general, projects that will be approved are broader in scope than college, or unit-based projects. However, certain mission-critical school-based projects can also receive approval. Before beginning the planning for fundraising process for any project which might require debt financing, the approval of the Vice Chancellor for Finance and Administration and the Vice Chancellor for University Advancement is required.

Projects financed through a bonding program will have received approval through the NC State Legislature annual non-appropriated capital improvements bill and will have been designated as “special obligation projects” by the North Carolina Board of Governors. Energy conservation measures will have received state agency approval as required.

A project that has a related revenue stream (self-liquidating project) will receive priority consideration. For these projects, the use of debt must be supported by an achievable financial plan that includes servicing the debt, including interest expense, financing related infrastructure and utilities, meeting any new or increased operating costs (including security applications), and providing for appropriate replacement and
renovation costs. Energy conservation measures must show that savings will be adequate to service the debt and all annual monitoring costs. Other projects funded by budgetary savings, gifts, and grants will be considered on a case by case basis. Any projects that will require gift financing, or include a gift financing component, must be jointly approved by the Vice Chancellor for University Advancement and the Vice Chancellor for Finance and Administration before approaching any prospective donors about gifts to the project. Because of the ancillary costs of projects, the amount of gifts raised must also include an associated endowment for any projects that are to be 100% gift financed. In all cases, institutional strategy and not donor capacity must drive the decision to build a project.

**Maintenance of Credit Rating**

Maintaining a high credit rating will permit the University to continue to issue debt and finance capital projects at favorable interest rates while meeting its strategic objectives. While the University’s decision to issue additional debt will be primarily focused on the strategic importance of the new capital improvement(s) the potential impact of a change in credit rating will also be reviewed. The University recognizes that external economic, natural, or other events may from time to time affect the creditworthiness of its debt. Nevertheless, the University is committed to ensuring that actions within its control are prudent. Management will provide the rating agencies with full and timely access to required information.

**Methods of Sale**

The standard methods of sale are competitive, negotiated and private placement. University management will evaluate each method of sale and determine the best type for each bond issue.

**Financing Team Professionals**

Selection of financing team professionals will be accomplished based on guidance from UNC General Administration. Bond Counsel, Financial Advisor (if needed) and Underwriter pool will be selected using the RFP (request for proposals) method.

**General Revenue Pledge**

The University will utilize general revenue secured debt (available funds pledge) for all financing needs, unless for energy conservation measures or other certain projects where management desires to structure specific revenue pledges independent of general revenue projects. The general revenue pledge provides a strong, flexible security that captures the strengths of not only auxiliary and student related revenues, but of the University’s research programs. General revenue bonds price better than corresponding auxiliary or facilities and administrative cost recovery bonds. In addition, on general revenue debt, the University has, historically, been subject to fewer operating or financial covenants and coverage levels imposed by the market and external constituents.

**Refunding**

Refunding and/or restructuring opportunities will be evaluated on a regular basis. Costs incurred by the refunding activity will be taken into consideration with a target of 3% present value savings. The University will also consider refinancing for other strategic
reasons including the elimination of certain limitations, covenants, payment obligations or reserve requirements that reduce flexibility.

Types of Instruments

Tax-exempt debt – The University recognizes the benefits associated with tax-exempt debt, and therefore will manage the tax-exempt portfolio to maximize the use of tax-exempt debt subject to changing conditions and changes in tax law.

Taxable debt – The University will manage its debt portfolio to implement taxable strategies based on private use considerations, tax law, and current market conditions. Taxable debt is likely to be a perpetual component of the University’s liabilities. Taxable debt will be utilized to fund projects ineligible for tax-exempt financing.

Commercial paper – The University recognizes that a commercial paper (CP) program can provide low-cost working capital and provide bridge financing for projects. However, as with other debt structures, the level of CP outstanding impacts the University’s overall debt capacity.

Variable rate debt – Variable rate debt is a desirable component of a debt portfolio as it provides typically lower rates. The use of variable rate debt does expose the debt portfolio to interest rate fluctuations and often comes with liquidity needs. Therefore, the University will balance the mix of variable and fixed rate debt so that variable is between 20%-50% of the total debt portfolio and will include variable interest rate instruments and products when advantageous.

Derivatives – The use of derivative products can be appropriate and advantageous for the purposes of limiting interest rate exposure and reducing debt service costs. The use of swaps will be employed primarily to enhance the University’s financial strategy and to manage variable rate exposure. Derivative products can help the University lock-in a favorable cost of capital for a future project or to ensure a specific level of cash flow savings for a refinancing. The University’s strategic objectives would determine the appropriate approach.

The University will evaluate potential derivative instruments through evaluation of its variable rate allocation, market and interest rate conditions, and the compensation for undertaking counterparty exposure. The University will evaluate each transaction relative to counterparty, basis, and termination risk. No derivative transaction will be undertaken that is not fully understood by the University or that imposes inappropriate risk on the University.

Public Private Partnerships - Given limited debt capacity and substantial capital needs, opportunities for alternative and non-traditional transaction structures may be considered, including off-balance sheet financings. These transactions are generally more expensive than traditional debt structures. Because investors view them as inherently riskier transactions, the cost of capital can be higher than traditional University debt and the costs of structuring the transactions are high. Chief considerations in deciding whether to pursue a Public Private Partnership are whether a third party financing model can produce results that are: (1) faster; (2) better; or (3) cheaper. Non-traditional structures can be considered when the economic benefit and likely impact on the University’s debt capacity and credit have been determined and the benefits of the potential transaction outweigh the costs. If it is determined that the use of third party financing or public private partnerships is closer to University debt than predicted, or if it is perceived to be University debt by University auditors, we will endeavor to use traditional financing methods. For this reason,
any public private partnership projects that occur on University-or Endowment-owned land must include the involvement of the University Treasurer. Our debt guidelines anticipate that rating agencies will consider any debt that is built on state-owned or university-owned land for purposes similar to that which is typically financed by special obligation debt to be virtually the same as debt of the University. Economic interest and control drive whether a project is considered to be debt of the University. If the university has an economic interest (i.e. gains the net operating income or participates in the income or losses) and control, then the project is considered by most financing professionals to be materially tied to the University. Ultimately, pursuing this type of financing is also a function of regulations—a project may be feasible but may not be allowed under existing regulations.

Maturity and Debt Service
The useful life of the capital project financed will be taken into consideration when determining the length of financing. No capital project will be financed for more than 120% of its useful life. Callable features should be structured to provide the highest degree of flexibility relative to cost. Structure of debt service will take into consideration existing debt and future capital plans. In addition, the University’s amortization of debt service may be spread along the full yield curve depending on market conditions.

Disclosures and Compliance
Annually, the University will review compliance with covenants and requirements under outstanding bond indentures. The University will continue to meet its ongoing disclosure requirements in accordance with SEC rule 15c2-12. The University will submit financial reports, statistical data, and any other material events as required under outstanding bond indentures. The University will comply with arbitrage requirements on invested bond funds. The University will comply with Internal Revenue Service rules related to private use and use of proceeds on tax-exempt debt.

Use of Benchmarks and Debt Ratios
In order to maintain an understanding of the University’s standing in comparison to other like institutions, analysis using standard ratios and benchmarks must be made comparing the University to others in its peer group. This analysis can be used as an ongoing tool in determining trends, weaknesses and target strengths relating to the debt portfolio and the health of the institution. On a regular basis, the University will review its ratios and compare them to published benchmarks from the rating agencies and others in its peer group. The University uses the following key ratios to provide a quantitative assessment of debt affordability and debt capacity.

Debt Service to Operations:  This ratio measures the University’s debt service burden as a percentage of total university expenses. The target for this ratio is intended to maintain the University’s long-term operating flexibility to finance existing requirements and new initiatives. Our current guideline of 4% is designed to preserve inter-generational equity. The Vice Chancellor for Finance and Administration has the ability to approve a higher level of debt service burden on a case-to-case basis. The measure is based on aggregate operating expenses as opposed to operating revenues because expenses typically are more stable and better reflect the operating base of the University. This ratio is
adjusted to reflect any non-amortizing or non-traditional debt structures that could result in significant single year fluctuations including the effect of debt refunding.

Annual Debt Service
Total Operating Expenses

Expendable Resources to Debt: This ratio indicates one of the most basic determinants of financial health by measuring the availability of liquid and expendable net assets to aggregate debt. The ratio measures the medium to long-term health of the University’s balance sheet and debt capacity and is a critical consideration of universities with the highest credit quality. The ratios and limits are not intended to track to a specific rating, but rather to help the University maintain a competitive financial profile while funding for capital needs as they arise. Our current guideline of 100% is designed to ensure that the University is maintaining an appropriate level of financial resources, relative to our institutional peers. The Vice Chancellor for Finance and Administration has the ability to override this ratio, should it fall below the 100%, or 1.0 times threshold.

Unrestricted Net Assets + Restricted Expendable Net Assets
Aggregate Debt

Indirect Debt

The University understands that debt issued by affiliated foundations can have an effect on the University’s bond rating. University management will take steps to be aware of, and participate in, debt discussions and new borrowings undertaken by those affiliated entities. As per Operating Guidelines for Associated Entities all debt that exceeds $500K for major associated entities and $100K for minor associated entities must be approved by the Vice Chancellor for Finance and Administration.

Centralized Lending and Blended Portfolio

The University has adopted a central loan program under which it provides funding for projects under the guidance of the Vice Chancellor for Finance and Administration and the University Treasurer. The benefits of this program include: (i) structuring of transactions on an aggregate, rather than by project, basis, (ii) continual access to capital for borrowers, (iii) predictable financial terms for borrowers, (iv) minimizing interest rate volatility, (v) permitting prepayment of loans at any time without penalty, and (vi) equity for borrowers through a blended rate.

The University charges a blended rate to its borrowers based on its cost of funding. This interest rate may change periodically to reflect changes in the University’s average aggregate expected long-term cost of borrowing. The blended rate may also include a reserve for interest rate stabilization purposes.

Each borrower is responsible for the repayment of all funds borrowed from the central loan program, plus interest, regardless of the internal or external source of funds. The University provides for flexible financing terms in order to accommodate individual entities as determined by the project scope and repayment source. The Director of Strategic Debt Management is the primary contact for divisional and auxiliary loans.
<table>
<thead>
<tr>
<th>Risk Ranking</th>
<th>Risk</th>
<th>Risk Score</th>
<th>Effectiveness</th>
<th>Risk Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Data or Cyber Security Breach</td>
<td>15.65</td>
<td>2.92</td>
<td>VC OIT</td>
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<td>2</td>
<td>Reduced State Funding</td>
<td>14.81</td>
<td>3.00</td>
<td>EVC &amp; Provost</td>
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<td>VC University Advancement</td>
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<td>Asst. to the Chancellor for External Affairs</td>
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<td>VC ORIED</td>
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<td>3</td>
<td>Decline in Minority Enrollment</td>
<td>14.17</td>
<td>2.75</td>
<td>EVC &amp; Provost</td>
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<tr>
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<td></td>
<td>VC DASA</td>
</tr>
<tr>
<td>4</td>
<td>Faculty Loss</td>
<td>13.36</td>
<td>3.00</td>
<td>EVC &amp; Provost</td>
</tr>
<tr>
<td>5</td>
<td>Sexual Violence or Other Clery Crime</td>
<td>12.54</td>
<td>3.67</td>
<td>EVC &amp; Provost</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>VC GC</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>VC F&amp;A</td>
</tr>
<tr>
<td>6</td>
<td>IT System Outage</td>
<td>11.96</td>
<td>3.50</td>
<td>VC OIT</td>
</tr>
<tr>
<td>7</td>
<td>Student Misconduct Involving Health or</td>
<td>11.88</td>
<td>3.25</td>
<td>VC DASA</td>
</tr>
<tr>
<td></td>
<td>Safety</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Loss of Research Grants</td>
<td>11.67</td>
<td>3.25</td>
<td>VC ORIED</td>
</tr>
<tr>
<td>9</td>
<td>Loss of Key Administrative Leaders</td>
<td>11.25</td>
<td>2.92</td>
<td>Chancellor</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>EVC &amp; Provost</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>VC F&amp;A</td>
</tr>
<tr>
<td>10</td>
<td>Employee Misconduct</td>
<td>9.97</td>
<td>3.33</td>
<td>Chancellor</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>VC GC</td>
</tr>
</tbody>
</table>
Factors Common to Recruitment and Retention

**Workplace Factors**
- Level of salary and benefits
- Support infrastructure (physical and administrative)
- Available resources
- Level of administrative barriers/support to get work done
- Sense of value, recognition and reward
- Opportunities for faculty/leadership development
- Opportunities for collaboration
- University/college/department culture (welcoming, supportive, diverse)
- University vision and leadership
- Clear Strategic Plan
- Transparency and accountability
- University momentum
- University and disciplinary reputation
- Colleagues (quality and critical mass)
- Student quality
- Educational benefits for employee children

**Non-Workplace Factors**
- Triangle location and lifestyle
- Cost of living
- Weather/seasonal changes
- RTP and other universities (opportunities to collaborate)
- Political climate
- Spouse/partner considerations
- Family considerations
- K-12 educational system
- Desire to change sectors (to/from academics)

Factors Specific to Recruitment

**Workplace Factors**
- Recruitment/interview process
- Start-up packages

**Non-Workplace Factors**
- Spouse/partner employment

Factors Specific to Retention

**Workplace Factors**
- Salary increases
- Retention packages
- Department climate

**Non-Workplace Factors**
- Aging employees approaching retirement

Example Actions (Preventions and Treatments)

**Use of available resources**
- Willingness to prioritize
- Internal reallocation of resources
- Strategic Plan provides clear priorities
- Continuation of delegated authority (EHRA)

**University vision and leadership**
- Nurture a welcoming, supportive and diverse culture
- Clear and transparent internal communication
- Support competitive offers and counteroffers and think more strategically about start-ups (competitive but not duplicative)

**Physical infrastructure**
- Develop/support core facilities
- Connect grant and start-up needs with space
- Renovate and re-purpose space while rewarding innovation and new ideas

**Administrative infrastructure**
- Promote administrative agility vs. administrative burden
- Provide administrative support for faculty

**Family/spousal-partner considerations**
- Proactive spousal/partner accommodations
- Support for services such as childcare

**Quality and critical mass of colleagues; opportunities for collaboration**
- Interdisciplinary clusters
- Other ways to identify like-minded faculty
- Improved financial and administrative processes to encourage collaboration within and across departments (e.g., course credit, funding)

**Opportunities for faculty/leadership development**
- Academic lifespan program development
- Administrative leadership development (Compass, Pathways, etc.)

**Level of salary and benefits**
- Address salary market and equity issues

**Educational benefits for employee children**
- NC State Employee Dependent’s Tuition Scholarship

**Enhanced recruiting efforts**
- Chancellor’s Faculty Excellence Program

**Recognition and rewards**
- University Faculty Scholars
- Focus fundraising efforts on new endowed professorships and chairs as well as existing programs
- Celebration of Faculty Excellence event

CONSEQUENCES: Inability to fully deliver University mission, especially in regards to discovery and scholarship, leading to a decline in University stature.
Workplace Factors

- Level of salary and benefits
- Support infrastructure (physical and administrative)
- Available resources
- Salary increases

Non-Workplace Factors

- Administrative barriers/support to getting work done
- Opportunities for faculty/leadership development
- Opportunities for collaboration
- University/college/department culture (welcoming, supportive, diverse)
- University and disciplinary reputation
- Colleagues (quality and critical mass)
- Student quality
- Recruitment/interview process
- Start-up packages
- Retention packages
- Department climate

- Political climate

- Cost of living
- Spousal/partner considerations
- Family considerations
- K-12 educational system
- Desire to change sectors (to/from academia)
- Spousal/partner employment
- Aging employees approaching retirement

- University vision and leadership
- Sense of value, recognition and reward
- Clear Strategic Plan
- Transparency and accountability
- Overall funding levels
- University momentum
- Educational benefits for employee

- Triangle location and lifestyle
- Weather/seasonal changes
- RTP and other universities nearby (opportunities to collaborate)

**BLACK** - Factors common to recruitment and retention  
**GREEN** - Factors specific to recruitment  
**PURPLE** - Factors specific to retention
# North Carolina State University: Strategic Risk Management

## Risk: Faculty Loss

<table>
<thead>
<tr>
<th>Risk Rank: 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Executive Vice Chancellor and Provost</td>
</tr>
</tbody>
</table>

**Description:** Inability to attract and retain faculty due to lack of competitive compensation and benefit packages and/or substandard infrastructure

**KRI:**
- Faculty turnover rates
- Number of voluntary separations (not including retirements)
- Retention data (number of pre-emptive retentions, number and nature of counteroffers, success rate, total spending on retentions)
- Market comparison on faculty salary with peer institutions
- Salary comparison versus competitive market

**Rationale (for KRI’s recommended):**
- Tracking the turnover rate, number of voluntary separations and retention metrics shows how critical a risk this is and how it is trending
- Evaluating the reasons given for separations determine what areas to adjust (as outlined in description)
- Monitoring state budget and other funding trends to determine flexibility in salary and benefits (as outlined in description)

**Preventive Response:**
- Use of available resources
  - Willingness to prioritize
  - Strategic Plan provides clear priorities
  - Continuation of delegated authority (EHRA) for setting salaries and giving raises

- University vision and leadership
  - Nurture a welcoming, supportive and diverse culture
  - Clear and transparent internal communication
  - Think more strategically about start-ups (competitive but not duplicative)

- Physical infrastructure
  - Develop/support core facilities
  - Connect grant and start-up needs with space

- Administrative infrastructure
  - Promote administrative agility vs. administrative burden
  - Provide administrative support for faculty

- Family/spousal-partner considerations
  - Proactive spousal/partner accommodations
  - Support for services such as childcare, stress/disease management and prevention, discounts and wellness info

**Reactive Response:**
- Use of available resources
  - Internal reallocation of resources

- University vision and leadership
  - Support competitive offers and counteroffers

- Physical infrastructure
  - Renovate and re-purpose space while rewarding innovation and new ideas

- Quality and critical mass of colleagues; opportunities for collaboration
  - Improved financial and administrative processes

- Level of salary and benefits
  - Address salary market and equity issues

- Enhanced recruiting efforts
  - Chancellor’s Faculty Excellence Program
### Quality and critical mass of colleagues; opportunities for collaboration
- Interdisciplinary clusters
- Other ways to identify like-minded faculty

### Opportunities for faculty/leadership development
- Academic lifespan program development
- Administrative leadership development (Compass, Pathways, etc.)

### Recognition and rewards
- University Faculty Scholars
- Focus fundraising efforts on new endowed professorships and chairs as well as existing programs
- Celebration of Faculty Excellence event

### Educational benefits for employee children
- NC State Employee Dependent’s Tuition Scholarship

### Enhanced recruiting efforts
- Chancellor’s Faculty Excellence Program
- More central coordination of start-up packages

### Enhanced retention efforts
- More central coordination of pre-emptive retentions and counteroffers

### Controls:
- Track the number of interdisciplinary clusters
- Evaluate funding as part of strategic resource management initiative
- Evaluate process improvement
- Faculty climate surveys to evaluate university culture
- COACHE faculty survey
- Compensation analysis versus peers
NC State Investment Fund, Inc.

NC State University, Campus Box 7207, Raleigh, NC 27695-7207

Inception Date: April-99

This report is based on information available at the time of distribution. The information comprising this report has not been audited and is subject to change.

December 31, 2015

MARKET COMMENTARY

Investment market volatility continued in the quarter ended December 31, 2015. A back-drop of slow global growth, especially in China, a steep drop in oil prices, and weakness in the US manufacturing and exports sector added to the volatility. Despite the hit on the US energy sector, the S&P 500 posted a 7.04% gain for the quarter, and pushed the index into positive territory, up 1.38% for the calendar year. In December, the Federal Reserve announced its much-anticipated interest rate hike, a contrast with the European Central Bank (ECB)’s continued support for quantitative easing. Fixed Income, as measured by the Barclays US Aggregate Bond index, posted a loss of 0.57% for the quarter, as yields rose and spreads generally widened.

In addition to widening spreads, the slide in oil prices and energy sector fears led the Barclays Capital US High Yield Index to post a 2.07% loss for the quarter. International equity markets, as measured by the MSCI ACWI Index, posted a gain of 3.24% in the quarter, but finished in the red for the year, down 5.66%. Emerging markets, as measured by the MSCI Emerging Markets index, posted a modest gain of 0.73% for the quarter; as growth slowed in China and a free fall in oil prices limited returns for the asset class. Commodities as an asset class, not just oil, fell in the fourth quarter. The S&P Goldman Sachs Commodity Index finished the quarter, and year, as the worst performing asset class with a 16.63% and 32.86% loss, respectively.

The NCSIF (Fund) is invested with several managers in a wide variety of asset classes. The Fund closed the quarter with a market value of $687 million. The largest manager for the Fund, UNCMC, managed 89.4% of the Fund’s assets. UNC Investment Fund (UNCIF) produced a 1.9% return for the three months and 5.7% return for the 12 months ended December 31, 2015. The NCSIF employs additional private equity managers, who oversee 3.7% of the portfolio. This portion of the Fund produced a strong three month return of 1.4% and a 12 month return of 12.4% for the period ended December 31, 2015. The Fund’s Liquid Policy Portfolio (LPP), another 6.4% of the portfolio, is managed by Blackrock. This investment returned 3.1% for the three months and -1.1% for the 12 months ended December 2015.

PERFORMANCE

<table>
<thead>
<tr>
<th>Date</th>
<th>Market Value</th>
<th>Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>December 31, 2015</td>
<td>$687,119,609</td>
<td>9</td>
</tr>
</tbody>
</table>

### PERFORMANCE

<table>
<thead>
<tr>
<th>Fund</th>
<th>QTD</th>
<th>FYTD</th>
<th>1 Year</th>
<th>3 Year</th>
<th>5 Year</th>
<th>10 Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCSIF</td>
<td>1.9%</td>
<td>-0.2%</td>
<td>5.5%</td>
<td>10.2%</td>
<td>8.7%</td>
<td>4.8%</td>
</tr>
<tr>
<td>Policy Index (1)</td>
<td>1.0%</td>
<td>-1.6%</td>
<td>0.6%</td>
<td>6.9%</td>
<td>7.7%</td>
<td>5.9%</td>
</tr>
<tr>
<td>Global Index (2)</td>
<td>3.4%</td>
<td>-3.1%</td>
<td>-1.3%</td>
<td>5.9%</td>
<td>5.4%</td>
<td>5.0%</td>
</tr>
<tr>
<td>BNY E&amp;F Universe (3)</td>
<td>2.1%</td>
<td>-2.9%</td>
<td>-0.4%</td>
<td>7.0%</td>
<td>6.6%</td>
<td>5.7%</td>
</tr>
<tr>
<td>UNCIF</td>
<td>1.9%</td>
<td>6.6%</td>
<td>12.4%</td>
<td>15.7%</td>
<td>15.3%</td>
<td>6.4%</td>
</tr>
<tr>
<td>NCSIF Private</td>
<td>1.4%</td>
<td>6.6%</td>
<td>12.4%</td>
<td>15.7%</td>
<td>15.3%</td>
<td>6.4%</td>
</tr>
<tr>
<td>BlackRock LPP</td>
<td>3.1%</td>
<td>-3.2%</td>
<td>-1.1%</td>
<td>7.0%</td>
<td>6.6%</td>
<td>5.7%</td>
</tr>
</tbody>
</table>

### RISK METRICS

<table>
<thead>
<tr>
<th>Metric</th>
<th>Fund</th>
<th>UNCIF</th>
<th>Policy Index</th>
<th>MSCI ACWI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annualized Return</td>
<td>10.2%</td>
<td>10.2%</td>
<td>6.9%</td>
<td>7.7%</td>
</tr>
<tr>
<td>Annualized Volatility</td>
<td>4.6%</td>
<td>4.7%</td>
<td>4.1%</td>
<td>10.9%</td>
</tr>
<tr>
<td>Annual Sharpe Ratio (1)</td>
<td>2.22</td>
<td>2.17</td>
<td>1.67</td>
<td>0.70</td>
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<tr>
<td>Correlation to Global Index</td>
<td>87.9%</td>
<td>86.6%</td>
<td>92.8%</td>
<td>99.4%</td>
</tr>
<tr>
<td>Max Drawdown</td>
<td>-3.8%</td>
<td>-4.1%</td>
<td>-3.2%</td>
<td>-11.7%</td>
</tr>
</tbody>
</table>

Note 1: Sharpe Ratio: Excess return per unit of risk

### HISTORY OF THE FUND

The NC State Investment Fund, Inc., (Fund) was established in April 1999 to combine NC State University’s and its affiliated entities’ endowments in an external pooled investment vehicle. The goal of the investment program for the Fund is to provide a real total return from assets invested that will preserve the purchasing power of Fund capital, while generating an income stream to support the spending needs of the University. Effective July 2008, the Fund partnered with UNC Management Company (UNCMC) to invest in the UNC Investment Fund (UNCIF), with the remaining investments committed to a Liquid Policy Portfolio (LPP) of Exchange Traded Funds (ETF’s), and to 3 private equity managers which includes an allocation for cash to fund capital calls. The transition of assets to UNCMC was completed December 2009.
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.

**ASSET ALLOCATION**

- Long Biased Equity: 22.2%
- Long/Short Equity: 17.3%
- Diversifying: 6.3%
- Fixed Income: 4.6%
- Cash: 9.2%
- Private Equity: 6.6%
- Real Estate: 5.9%
- Energy & Natural Resources: 27.9%

**ALLOCATION BY MANAGER**

- UNCIF: 89.4%
- BlackRock LPP: 6.4%
- STIF-NCSIF: 0.5%
- JP Morgan Private Equity: 2.0%
- SEI Private Equity: 1.1%

**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 nearly 40 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, monitoring risk, and implementing investment decisions approved by Chapel Hill Investment Fund’s (CHIF) Executive Committee. The Operations Team performs all administrative, legal, compliance, accounting, and performance reporting duties.

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NC State Intermediate Term Fund

NC State University, Campus Box 7207, Raleigh, NC 27695-7207

Inception Date: July 3, 2014

FUND HISTORY AND PHILOSOPHY

As a pooled fund for the collective investment of operating funds, the NC State Intermediate Term Fund (ITF) consists of Participants’ excess cash balances, which are defined as funds not needed for normal operating purposes. Generally, the ITF will not include operating funds needed within the next year, endowed funds or those funds that are specifically excluded by law or contractual agreement.

The decision to invest funds takes into account various factors including duration, credit, concentration, and manager risk, along with total return, suitability, and the experiences, quality and capability of external managers.

The primary investment objectives of the ITF are: 1) Preservation and safety of principal; 2) Liquidity; and 3) Maximization of returns within acceptable levels of risk. Because of concerns about potential changes in monetary policy and rising interest rates, duration is limited. The investment policy calls for an average weighted maturity between one and five years, with an overall credit rating in general of A+/A as rated by a nationally-recognized rating agency. However, for any mutual funds selected by the ITF, their respective approved investment policy guidelines supersede those of the ITF.

The ITF was established on July 3, 2014 with an initial investment of $122 million. Additional investments were made during the year bringing the total invested to $173.83 million. The ITF can be compared with the State Treasurer’s Short-Term Investment Fund (STIF) on both a total return and on an SEC yield basis. The cash return on the ITF is higher than other operating cash for the University and other participants.

In order to provide a buffer for changes in the NAV of the different investments, some of the excess earnings are being used to create a loss reserve. FMV fluctuates on a day-to-day basis.

PERFORMANCE

<table>
<thead>
<tr>
<th>Fund</th>
<th>QTD</th>
<th>FYTD</th>
<th>1 Year</th>
<th>Since Inception</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITF Fund</td>
<td>-0.09%</td>
<td>-0.18%</td>
<td>0.70%</td>
<td>0.56%</td>
</tr>
<tr>
<td>Barclays Universal 1-5 yr. (1)</td>
<td>-0.53%</td>
<td>-0.23%</td>
<td>0.92%</td>
<td>0.67%</td>
</tr>
<tr>
<td>Barclays 1-3 yr Treasury</td>
<td>-0.44%</td>
<td>-0.14%</td>
<td>0.55%</td>
<td>0.51%</td>
</tr>
<tr>
<td>BlackRock SIO</td>
<td>-0.10%</td>
<td>-1.07%</td>
<td>-0.30%</td>
<td>0.92%</td>
</tr>
<tr>
<td>JP Morgan Short Term</td>
<td>-0.37%</td>
<td>-0.14%</td>
<td>0.71%</td>
<td>0.67%</td>
</tr>
<tr>
<td>PIMCO Low Duration</td>
<td>0.53%</td>
<td>-0.14%</td>
<td>0.66%</td>
<td>0.19%</td>
</tr>
<tr>
<td>Vanguard Short Term</td>
<td>-0.27%</td>
<td>0.18%</td>
<td>1.16%</td>
<td>0.99%</td>
</tr>
</tbody>
</table>

Note 1: Primary Benchmark

<table>
<thead>
<tr>
<th>STATISTICS</th>
<th>Fund</th>
<th>Index (2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Volatility</td>
<td>0.94%</td>
<td>1.24%</td>
</tr>
<tr>
<td>Sharpe Ratio</td>
<td>0.60</td>
<td>0.54</td>
</tr>
<tr>
<td>Yield</td>
<td>1.90%</td>
<td>2.04%</td>
</tr>
<tr>
<td>Effective Duration</td>
<td>1.79</td>
<td>2.66</td>
</tr>
<tr>
<td>FYTD Net Interest &amp; Dividends**</td>
<td>$2,094,903</td>
<td>n/a</td>
</tr>
</tbody>
</table>

**Net of Fund expenses

Note 2: The iShares Core 1-5 Year Bond ETF is used as a proxy for the benchmark for Statistics information

MANAGERS

JP Morgan’s Short Term Fund is based on bottom-up fundamental analysis, while retaining a high quality bias.

Vanguard’s Short Term Fund has a low tracking error and is a low cost portfolio option consisting primarily of investment grade corporates.

PIMCO’s Low Duration Fund seeks maximum total return based on a combination of top-down secular views and bottom-up fundamental analysis.

BlackRock’s Unconstrained Fund is based on fundamental analysis that will seek to exploit market inefficiencies through a variety of fixed income securities and exposures.

MANAGER ALLOCATION

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Second Quarter Fiscal Year 2016
CALL TO ORDER

Randy Ramsey, Chair, Buildings and Property Committee
- Roll Call
- Reading of the State Government Ethics Act

1. CONSENT AGENDA

Minutes

Randy Ramsey, Chair, Buildings and Property Committee
- Approval of February 18, 2016 meeting minutes

Property Matters

Ralph Recchie, Real Estate Director

✓ Disposition by Land Exchange: +0.53 acres of State of North Carolina land in Hatteras Village with Captain Lee Setkowsky (adjacent owner) in exchange for strategic facilities of equal value to be identified by the College of Agriculture and Life Sciences. Land valuation and equity to be determined in conjunction with the State Property Office of the Department of Administration.

Designer Selections

Steven Arndt, Associate Vice Chancellor for Facilities

- Weisiger-Brown Parking Lot, Central Campus (Interviews were 4/14/16)
- Open Ended Service Agreement Designer Selections 2016-2017
- Approval of Designer Selections Less Than $500,000

Construction Manager@Risk Selection (CM@R)

- EB Oval, Centennial Campus

Acceptance of Completed Buildings and Projects

Steven Arndt, Associate Vice Chancellor for Facilities
- The University and Office of State Construction have accepted the attached

✓ Requires full board approval

1 Materials will be distributed to committee members at the meeting
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
February 18, 2016 meeting.

***END OF CONSENT AGENDA ITEMS***

2. PROPERTY MATTERS (Received after Full Board Mailing) TAB 2

3. PARKING AND TRANSPORTATION TAB 3
   Cathy Reeve, Director, Transportation
   ✓ Proposed Revision to Policy 7.60.1 Parking and Transportation Ordinances 2016-2017 5.3.A

4. PHYSICAL MASTER PLAN TAB 4
   Lisa Johnson, University Architect
   • Annual Update ¹(5.4.A)

5. PLAN APPROVAL TAB 5
   Lisa Johnson, University Architect
   • Approval of Plans and Specifications of Formal Projects less than $2 million 5.5.A

6. INFORMATIONAL REPORTS TAB 6
   • Capital Projects Update (Steven Arndt) 5.6.A.1
   • Centennial Campus Update (Steven Arndt) 5.6.A.2
   • Status of Projects in Planning (Lisa Johnson) 5.6.A.3

ADJOURN

✓ Requires full board approval
¹ Materials will be distributed to committee members at the meeting

Buildings and Property Committee
Page 2
Agenda Item / Issue: Consent Agenda

Requested / Required Action: Approval of the items contained in the Consent Agenda to include committee meeting minutes for February 18, 2016, one property matter, designer and construction manager at risk selections, and acceptance of completed buildings and projects.

Suggested Motion: Move approval of the Consent Agenda.

Responsible University Unit: Office of Finance & Administration
University Presenter/Contact: Steven A. Arndt, Associate Vice Chancellor for Facilities
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY

Buildings and Property Committee

Meeting Date: February 18, 2016

Minutes

Meeting No.: 15-16: 3

Location: Primrose Hall Conference Room

Time: 2:46 – 3:55 p.m.

Committee Members Present:
Mr. Randall Ramsey, Chair
Mr. Jimmy Clark
Mr. Ben Jenkins
Mr. Wendell Murphy
Mr. Dewayne Washington

Present from the University:
Mr. Scott Douglass, Vice Chancellor for Finance and Administration
Mr. Steven Arndt, Associate Vice Chancellor for Facilities and Interim Associate Vice Chancellor for University Real Estate Operations
Mr. Robert Hoon, Deputy General Counsel, Office of General Counsel
Mr. Brent McConkey, Assistant General Counsel, Office of General Counsel
Mr. Jack Colby, Assistant Vice Chancellor for Facilities Operations
Ms. Lisa Johnson, University Architect
Mr. Ralph Recchic, Director, Real Estate (for part of the meeting)
Mr. David Hatch, Director, Facilities Repair and Renovation (for part of the meeting)
Ms. Amy Mull, Director of Planning and Communication, Vice Chancellor for Finance and Administration
Ms. Angkana Bode, President Elect, Staff Senate and Facilities Architect, Facilities Design and Construction Services
Ms. Julia Brooks, Assistant to Associate Vice Chancellor for Facilities, Facilities
Mr. Ron Grote, Temporary Employee, Facilities Division

CALL TO ORDER
Chair Ramsey called the meeting to order at 2:46 p.m.
ROLL CALL
Chair Ramsey called the roll. Messrs. Randall Ramsey, Jimmy Clark, Ben Jenkins, Wendell Murphy and Dewayne Washington were present. Dr. Ron Prestage had an excused absence.

STATE GOVERNMENT ETHICS ACT
At the beginning of the meeting, Chair Ramsey 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. The committee members had no conflicts of interest or appearances thereof.

CONSENT AGENDA
Minutes
Chair Ramsey asked whether there were any corrections to the November 12, 2015 meeting minutes. There being none, Chair Ramsey declared the minutes stand approved as drafted.

Property Matters
Chair Ramsey asked Mr. Recchie to present the one property matter that requires committee approval. Recchie presented the Acquisition by Lease of approximately 18,600 square feet of office space for Distance Education and Learning Technology Applications (DELTA) at 2401 Research Drive on Centennial Campus with Keystone Corporation for a term of seven years with a three year renewal option. The dollar amount of this lease will require Buildings and Property Committee approval.

Chair Ramsey called for a motion and a second to recommend approval of the acquisition by lease as outlined by Mr. Recchie. Mr. Clark made the motion, which Mr. Jenkins seconded. Ramsey asked if there was any further discussion on the motion. There being none, he called for a vote. He announced the motion passed.

Designer Selections
Chair Ramsey asked Mr. Arndt to discuss the designer and construction manager at risk selections. Arndt presented 16 designer selections and one construction manager at risk selection. Chair Ramsey called for a motion and a second to approve the selections as outlined by Mr. Arndt. Mr. Murphy made the motion, which Mr. Jenkins seconded. Ramsey asked if there was any further discussion on the motion. There being none, he called for a vote. He announced the motion passed.

Acceptance of Completed Buildings and Projects
Chair Ramsey asked Mr. Arndt to present the completed buildings and projects for acceptance. Arndt requested acceptance of three completed projects with a combined value of $3.3 million. One of the projects was HVAC renovation to the Dorothy & Roy Park Alumni Building. Mr. Washington asked what the problem had been. Ms. Johnson said the original system had been poorly designed. Mr. Clark asked whether sound attenuation is being addressed in the Grand Reception room. Johnson said some work has already been done with more planned.

Chair Ramsey called for a motion and a second to accept the completed buildings and projects as
outlined by Mr. Arndt. Mr. Jenkins made the motion, which Mr. Washington seconded. Ramsey asked if there was any further discussion on the motion. There being none, he called for a vote. He announced the motion passed.

PLAN APPROVAL
Chair Ramsey asked Ms. Johnson to present the list of plans and specifications of formal projects that cost less than $2 million for approval. Johnson presented the eight plans and specifications of formal projects. Chair Ramsey called for a motion and a second to approve the list as outlined by Ms. Johnson. Mr. Washington made the motion, which Mr. Jenkins seconded. Ramsey asked if there was any further discussion on the motion. There being none, he called for a vote. He announced the motion passed.

INFORMATIONAL REPORTS
Chair Ramsey recognized Mr. Colby to present the Deferred Maintenance Report. Colby said that the University’s deferred maintenance backlog continues to increase due to lack of funding over the past number of years. The backlog in dollars is now at $379.8 million for appropriated facilities. Failures and disruptions are becoming more frequent. Critical system deficiencies such as HVAC, electrical, fire/life safety and plumbing contribute to 69 percent of the backlog. Over the next 5 years, 81 percent of the backlog will become critical. Cost is escalating at $10 million each year.

Mr. Jenkins asked whether there are contingency funding sources. Colby responded there are, but they are very limited. Colby said that many times when emergencies arise, funding has to be diverted from planned projects to cover costs. Continuing to divert funds will eventually lead to planned projects becoming emergency ones.

Colby emphasized that the University’s building reinvestment is 40 percent below benchmark for research intensive universities. Current reinvestment levels are insufficient to reduce the rising backlog. Failing infrastructure does not support the University’s strategic plan.

Colby made several recommendations to address the situation:

- Assign an annual cost to continued deferral of maintenance and renewal backlog
- Establish annual funding target to stabilize deferral
- Advance the deferred maintenance capital renewal issue to the Board of Governors
- Develop alternate funding strategic plan
- Make capital reinvestment high on the legislative agenda
- Develop a strategic plan for capital needs

Chair Ramsey thanked Mr. Colby for his presentation and told the assembled trustees that it is up to all trustees to make legislators aware of the problem. He stated that the better we as trustees do in this regard the better off the University will be. The trustees whole-heartedly agreed with his assessment.

Chair Ramsey recognized Mr. Arndt to present the update about Capital Projects. Arndt provided a brief synopsis and showed recent photos of the more significant projects.
Chair Ramsey recognized Ms. Johnson to present the status of projects in planning. Johnson presented the list.

Chair Ramsey asks if there was any further business for the committee. There being no further business, Ramsey announced the meeting adjourned at 3:55 p.m.

Respectfully submitted,

Steven A. Arndt
Secretary to the Committee

cc: Scott Douglass, Vice Chancellor, Finance & Administration
    P.J. Teal, Assistant Secretary of the Trustees

Approved: ________________________________

  Committee Chair                                      Date
DISPOSITION
OF REAL PROPERTY

LAND EXCHANGE

GRANTOR  State of North Carolina for North Carolina State University

GRANTEE  Howard Lee Setkowsky

LOCATION  Hatteras Township, Dare County, North Carolina

SIZE  +/- 0.53 acres

VALUE  To be determined based on appraisal in coordination with the State Property Office. Current tax value is $166,300.

USE  The College of Agriculture and Life Sciences wishes to exchange the 0.53 acre tract in Hatteras Township for strategic facilities of equal or greater value. The tract was gifted to North Carolina State University by The Charles F. Johnson Foundation, Inc. in 1963 for research purposes, i.e., the study of marine life. At that time it comprised 1.69 acres. Erosion has reduced it to its current size. Research was conducted at this location through the 1970s. The property is no longer in use by the University and the buildings are deteriorated. The replacement property is to be identified in coordination with the College and acquired by adjoining owner, Howard Lee Setkowsky for the exchange.
STATE OF NORTH CAROLINA
Department of Administration
*DISPOSITION OF REAL PROPERTY

Institution or Agency: North Carolina State University  Date: March 18, 2016

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): Land Exchange

The disposition is recommended for the following reasons:
The College of Agriculture and Life Sciences wishes to exchange the 0.53 acre tract in Hatteras Township for strategic facilities of equal or greater value. The tract was gifted to North Carolina State University by The Charles F. Johnson Foundation, Inc. in 1963 for research purposes, i.e., the study of marine life. At that time it comprised 1.69 acres. Erosion has reduced it to its current size. Research was conducted at this location through the 1970s. The property is no longer in use by the University and the buildings are deteriorated. The replacement property is to be identified in coordination with the College and acquired by adjoining owner, Howard Lee Setkowsky for the exchange.

Description of Property:
±0.53 acre located in Hatteras Township, Dare County, North Carolina (PIN: 958520726303) on a peninsula known as Durants Point between the Pamlico Sound and Harbor Village Creek. As it is not connected to the main part of Hatteras by road or bridge; it can only be accessed by boat. There are no utility services. The remains of sheds and outbuildings are in poor condition. The tract is immediately east of property owned by Howard Lee Setkowsky. See attached survey map and exhibits.

Term: N/A

Estimated value: To be determined by appraisal in coordination with the State Property Office. Current tax value is $166,300.

Where deed is filed, if known: Dare County Register of Deeds; Deed Book 112, Pages 172-174

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

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

Funds from the disposal of this property are recommended for the following use:
Consideration will be replacement property of equal value (i.e. strategic land and facilities) for the benefit of North Carolina State University.

Action, recommending this transaction was taken by the Board of Trustees recorded on this date ____________________.

Signature Original Signature on File
Chancellor

*The term "real property" includes timber rights, mineral rights, etc. (GS 146-64)
NOTES:
1. This survey is subject to any facts that may be disclosed by a full and accurate title search.
2. Minimum Building Lines (MBL) shown hereon must be verified. The surveyor makes no certification as to zoning and/or restrictive covenant setbacks.
3. This lot is a nonconforming lot of record platted prior to November 29, 1982.
4. This area is located in the Wind-Borne Debris Region.
5. Some portions of some lots in this subdivision are located in Areas of Environmental Concern. Individual permits may be required before development may take place in these areas.
6. This property, or portions of this property, are located within a special flood hazard area as designated on Flood Insurance Rate Maps for Dare County. Location in a special flood hazard area represents a one percent (1%) or greater chance of being flooded in any given year. Flood insurance may be required by lending institutions for structures constructed on property located in special flood hazard areas.

I, Freddy D. Rankin, Professional Land Surveyor, certify that this plat was drawn from an actual field land survey and that the error of closure as calculated by latitudes and departures is at least 1:10,000. Witness my hand and seal this ___ day of March, A.D., ___.

Freddy D. Rankin, P.L.S.
L-2958
Agenda

REQUIRES FULL BOARD APPROVAL

5.1.B

[Map of the area with 'NCSU Lot' and 'NCSU Lot' labeled]
The 2016-2017 Open-Ended Service Agreement Designer Selections

<table>
<thead>
<tr>
<th>Firm Name</th>
<th>City/State</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Architecture:</strong></td>
<td></td>
</tr>
<tr>
<td>Davis Kane Architects, PA</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Gensler</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>IBI Group of NC, PC</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Lambert Architecture + Interiors</td>
<td>Winston-Salem, NC</td>
</tr>
<tr>
<td>McGahey Design, PA</td>
<td>Garner, NC</td>
</tr>
<tr>
<td>RND Architects, PA</td>
<td>Durham, NC</td>
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<tr>
<td>Swanson + Stewart Architects, PA</td>
<td>Durham, NC</td>
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<tr>
<td><strong>Asbestos/Environmental/Hazardous Materials:</strong></td>
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<tr>
<td>Alexander Engineering Services, PA</td>
<td>Raleigh, NC</td>
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<tr>
<td>EEC, Inc.</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Froehling &amp; Robertson, Inc.</td>
<td>Raleigh, NC</td>
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<tr>
<td>S&amp;ME, Inc.</td>
<td>Raleigh, NC</td>
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<tr>
<td><strong>Civil:</strong></td>
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<tr>
<td>Alpha &amp; Omega Group</td>
<td>Raleigh, NC</td>
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<tr>
<td>Draper Aden Associates</td>
<td>Fayetteville, NC</td>
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<tr>
<td>JC Waller &amp; Associates, PC</td>
<td>Greensboro, NC</td>
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<tr>
<td>McKim &amp; Creed</td>
<td>Raleigh, NC</td>
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<tr>
<td><strong>Commissioning:</strong></td>
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<tr>
<td>Gannett Fleming, Inc.</td>
<td>Raleigh, NC</td>
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<tr>
<td>Hanson Professional Services, Inc.</td>
<td>Raleigh, NC</td>
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<td>KLG Jones, LLC</td>
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<tr>
<td><strong>Electrical:</strong></td>
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<tr>
<td>Dewberry</td>
<td>Raleigh, NC</td>
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<tr>
<td>Hallam ICS</td>
<td>Raleigh, NC</td>
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<tr>
<td>Optima Engineering, PA</td>
<td>Raleigh, NC</td>
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<tr>
<td>RDK Engineers</td>
<td>Durham, NC</td>
</tr>
<tr>
<td>Sigma Engineered Solutions, P.C</td>
<td>Morrisville, NC</td>
</tr>
</tbody>
</table>
Lab Design:

- BHDP Architecture Raleigh, NC
- Clark Richardson & Biskup Cary, NC
- Wagner Architecture, PLLC New Hill, NC

Landscape Architecture/Master Planning:

- DHM Design Raleigh, NC
- OBS Landscape Architects Raleigh, NC
- Timmons Group Raleigh, NC

Mechanical:

- Affiliated Engineers, Inc. Chapel Hill, NC
- Charlotte Engineers, LLP Charlotte, NC
- Edmondson Engineers, P.A Durham, NC
- Locklear, Locklear & Jacobs Pembroke, NC
- The Wooten Company Raleigh, NC

Move Coordination:

- Heery International, PC Raleigh, NC
- T2pm Winston-Salem, NC

Roofing:

- Atlas Engineering, Inc. Raleigh, NC
- Fleming and Associates, PA Fayetteville, NC
- Terracon Consultants, Inc. Raleigh, NC

Structural:

- LHC Structural Engineers Raleigh, NC
- Uzun+Case Raleigh, NC
- Wetherill Engineering Raleigh, NC

Surveying:

- George Finch/Boney and Associates, PA Raleigh, NC
- KCI Associates of NC, PA Raleigh, NC
- Mulkey Engineers & Consultants Cary, NC
- Taylor Wiseman & Taylor Cary, NC
Testing:

- Building & Earth Sciences NC Dunn, NC
- ESP Associates, PA Raleigh, NC
- Stewart Raleigh, NC
- TerraTech Engineers, Inc. Raleigh, NC

Transportation:

- Kimley Horn Raleigh, NC
- Ramey Kemp & Associates Raleigh, NC
- Walker Parking Consultants Charlotte, NC
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 February, 2016.

<table>
<thead>
<tr>
<th>Project</th>
<th>Fee:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CVM Teaching Theater Renovation</strong></td>
<td>$59,700</td>
</tr>
<tr>
<td>Designer: BBH Design, Research Triangle, NC</td>
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<tr>
<td>Fund Source: Departmental</td>
<td></td>
</tr>
<tr>
<td><strong>CBC Exterior Lighting Study</strong></td>
<td>$49,500</td>
</tr>
<tr>
<td>Designer: Clark Nexsen, Charlotte, NC</td>
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</tr>
<tr>
<td>Fund Source: Departmental</td>
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<tr>
<td><strong>Comprehensive Classroom Study</strong></td>
<td>$49,500</td>
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<tr>
<td>Designer: Brightspot Strategy, New York, NY</td>
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<td>Fund Source: Departmental</td>
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<tr>
<td><strong>CVM Main Dining Renovation</strong></td>
<td>$39,800</td>
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<tr>
<td>Designer: New City Design, Raleigh, NC</td>
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<td>Fund Source: Departmental</td>
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<tr>
<td><strong>CBC Flex Building Utility Extension</strong></td>
<td>$39,490</td>
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<tr>
<td>Designer: RMF Engineers, Durham, NC</td>
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<td>Fund Source: Departmental</td>
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<tr>
<td><strong>College of Textiles Third Floor Suite Renovation</strong></td>
<td>$28,650</td>
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<tr>
<td>Designer: 310 Architecture + Interiors, Raleigh, NC</td>
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<td>Fund Source: Departmental</td>
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<tr>
<td><strong>GIS Implementation Tasks 3-6</strong></td>
<td>$26,925</td>
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<tr>
<td>Designer: eGIS Associates, Dacula, GA</td>
<td></td>
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<tr>
<td>Fund Source: Departmental</td>
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<tr>
<td><strong>Avent Ferry Electrical Crossing Study</strong></td>
<td>$25,000</td>
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<tr>
<td>Designer: McKim &amp; Creed, Raleigh, NC</td>
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<td>Fund Source: Departmental</td>
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<tr>
<td><strong>CBC Alternate Telecom Route Study</strong></td>
<td>$21,200</td>
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<tr>
<td>Designer: Kimley-Horne &amp; Associates, Raleigh, NC</td>
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<td>Fund Source: Departmental</td>
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<tr>
<td>Project</td>
<td>Cost</td>
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<tr>
<td>------------------------------------------------------</td>
<td>---------</td>
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<tr>
<td>Poulton Innovation Center Springboard HUB Modifications</td>
<td>$13,900</td>
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<tr>
<td>Weisiger Brown Expansion Study</td>
<td>$10,000</td>
</tr>
<tr>
<td>Short Game Practice Facility Study</td>
<td>$6,300</td>
</tr>
</tbody>
</table>
**Engineering Building Oval – Construction Manager At-Risk**

*Total Project Scope – $180,200,000 (Appropriations/Bond/Gifts/University Receipts)*

- **11/25/15** Advertised in NC Purchase Directory
- **01/14/16** Closing date for submittals
  - (10 proposals received)
- **01/29/16** Appointment of Selection Committee
  - By Steven Arndt, Secretary – Buildings and Property Committee
- **01/29/16-03/02/16** Selection Committee review:
  - Wendell Murphy, Trustee
  - Lisa Johnson, University Architect
  - Bill Davis, Capital Project Management
  - Cameron Smith, Capital Project Management
  - Charlie Marshall, Capital Project Management
  - Shon Burch, Capital Project Management
  - John Royal, College of Engineering
  - Others who assisted in review and short listing process
    - Pat O’Keefe, Clark Nexsen
    - Jake Terrell, Capital Project Management
- **01/29/16** Short list recommendation by Selection Committee:
  - Clancy & Theys/TA Loving – Raleigh, NC
  - Balfour Beatty Construction/Holt Brothers Construction – Raleigh, NC
  - SKANSKA – Durham, NC
- **02/04/16** Short list approved by Randall Ramsey
- **02/17/16** Pre-interview briefing of Designers
- **03/02/16** Designers interviewed. Recommendation in priority order:
  - SKANSKA – Durham, NC
  - Balfour Beatty Construction/Holt Brothers Construction – Raleigh, NC
  - Clancy & Theys/TA Loving – Raleigh, NC
## Board of Trustees
### Acceptance of Completed Buildings and Projects

**Table:**

<table>
<thead>
<tr>
<th>Code/Item</th>
<th>Project#</th>
<th>Location</th>
<th>Title</th>
<th>Project Cost</th>
<th>University Acceptance</th>
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<tbody>
<tr>
<td>41324 / 301</td>
<td>201320019</td>
<td>Carmichael Gym</td>
<td>Carmichael Locker Room Phase IB</td>
<td>$3,000,000</td>
<td>1/27/2016</td>
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<tr>
<td>41424/305</td>
<td>201420011</td>
<td>Cox Hall</td>
<td>Cox Hall Scale Up Classrooms</td>
<td>$1,777,633</td>
<td>3/23/2016</td>
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</tbody>
</table>

**TOTAL:** $4,777,633
Resolution amending the Parking and Transportation Policies on the Campus of North Carolina State University

Approval of the Resolution by the Full Board of Trustees approving the Proposed Revision to Policy 7.60.01: Parking and Transportation Ordinances for 2016-2017 as described in the attached Summary of 2016-2017 Proposed Changes. The proposed Changes would be effective August 16, 2016.

WHEREAS, the Board of Trustees approved amendments to the Parking and Transportation Policies on the Campus of North Carolina State University on April 24, 2015 and

WHEREAS, it is necessary to make changes in current policies,

NOW, THEREFORE, BE IT RESOLVED THAT the Board of Trustees of North Carolina State University amends the Parking and Transportation Policies on the Campus of North Carolina State University superseding all previous editions. Effective date of this amendment is August 16, 2016.

Department of Transportation

Cathy Reeve, Director, Transportation
SUMMARY NARRATIVE OF PROPOSED 2016-17 CHANGES TO PARKING AND TRANSPORTATION ORDINANCES

1.1.4 Clarifies Administrative penalties
1.1.9 Amends carpool definition to redefine a carpool as two or more individuals
1.1.21 Combines Motorcycles, Mopeds and Scooters into one definition to reflect General Statute amendment of registration requirements, therefore 1.1.23 was removed.
1.1.31 Adds definition for a Pay Lot Invoice
1.1.60 Removes definition of a Visitor Voucher Fee
2.1.4 Removal to disallow mopeds and scooters parking at bicycle racks
2.1.5 Rewrite to reflect General Statue changes and to clarify prohibition of mopeds and scooters operating in pedestrian areas
2.1.6 Removes treatment of mopeds and scooters as bicycles for impoundment purposes
3.1.3 Adds vehicle registration requirement and defines non-compliance consequence
3.2.9 Clarifies permanent employee eligibility, pre-tax of payroll deducted parking fees and requirement to return permit when leaving NCSU employment
3.2.10 Rewrite to reflect elimination of gate access cards
3.2.15 Rewrite for clarity
3.2.17 Creates policy for Electric Vehicle charging station use and requires access payment
3.2.18 Updates list of parking lots removing Hillsborough Square and adding Ferndell lot
3.3.1c Clarifies student parking permit non-eligibility for proximate private housing
3.3.1.d Updates and clarifies Resident student permit eligibility
3.3.1.f Adds Overnight Parking prohibition for gated pay lots
3.4.1.d Removes Hillsborough Square lot
3.4.2.a Adds the word “Hourly” for clarity
3.4.4 Reflects Vice Chancellor position title change
3.5 Updates full chart to reflect 2015-2016 parking permit pricing

4.2.2 Rewrite reflects changes to access and valid hours for employee “L” (off peak) permits
4.2.3 Adds “student” to clarify differences in student and employee “L” (off peak) permits
4.5.2 Reflects equipment and operational changes to Partners Way Deck Pay Lot
4.5.3 Reflects change in terminology from Visitor Voucher Fee to Pay Lot Invoice
4.7.1 Removes meter reference since all meters have been eliminated from campus
5.1.1 Reflects change in terminology from Visitor Voucher Fee to Pay Lot invoice
5.6.1 Reflects change in terminology from Visitor Voucher Fee to Pay Lot Invoice
5.6.2 Rewrite clarifies non-eligibility for permit purchase with existing outstanding fines
5.7.1 Reflects change in terminology from Visitor Voucher Fee to Pay Lot Invoice
6.4.1 Rewrite for clarity
## GENERAL PROVISIONS

### Definitions

1. **Abandoned Bicycle:** Any bicycle that has been parked illegally for more than ten days or which is determined to be "derelict" or inoperable under North Carolina General Statute 20-137.7.

2. **Academic Year:** The period of time from August 16 of one calendar year until August 15 of the next calendar year.

3. **Access Point for Accessibility Spaces:** The road space adjacent to all curb cuts built for wheelchair access from the street to the sidewalk and the space adjacent to each mobility-impaired parking space identified by white diagonal lines.

4. **Administrative Sanctions:** Penalties which may be assessed for repeated violations of these ordinances or for failure to pay validly due fines. Administrative sanctions include, but are not limited to, revocation of parking permits. Administrative penalties include the issuance of a campus appearance ticket and a Student Conduct Referral to students.

5. **Bicycle:** A device propelled by human power upon which any person may ride, and supported by either two tandems or three wheels, one of which is 16 inches or more in diameter. For the purpose of this Ordinance, a bicycle shall be deemed a vehicle.

6. **Bicycle Path:** A paved strip or path that is designated for use by bicycles. May be adjacent to a roadway, or a separate route to a roadway, and may also include strips to delineate bicycle lanes from pedestrian lanes.

7. **Campus:** All property located in and around Raleigh, North Carolina, which is owned or leased by the State of North Carolina and under the supervision of the Board of Trustees of North Carolina State University.

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**History:** First Issued: July 27, 1972. Last Revised: April 16, 2015 April 21, 2016

**Additional References:** NC. Gen. Stat. 116-44.4, 20-222, and 20-137.7.

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<table>
<thead>
<tr>
<th>Authority</th>
<th>Board of Trustees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>Parking and Transportation Ordinances</td>
</tr>
<tr>
<td>Classification</td>
<td>POL07.60.1</td>
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<tr>
<td>PRR Subject</td>
<td>Transportation</td>
</tr>
<tr>
<td>Contact Info</td>
<td>Associate Vice Chancellor for Environmental Health &amp; Public Safety (919-515-7915)</td>
</tr>
</tbody>
</table>
1.1.8 Campus Appearance Ticket: A citation issued to a student by the University's Campus Police that subjects the student to discipline under the Code of Student Conduct.

1.1.9 Carpool: An organized group of three or more commuting members of campus who regularly ride together in one car and share the use of a carpool permit issued by Transportation.

1.1.10 Chancellor: The Chancellor of North Carolina State University at Raleigh, NC.

1.1.11 Chronic Offender-An individual who exhibits an observable pattern of reoccurring parking violations without demonstrating a recognizable intent to self-correct the violating behavior.

1.1.12 Client: One for whom professional services are rendered.

1.1.13 Crosswalks: Any portion of a roadway distinctly indicated for pedestrian crossing by lines, other markings on the surface, a raised elevation of asphalt or concrete and/or signs.

1.1.14 Director of Transportation: That person designated by the Chancellor who shall be responsible for administering, implementing, and enforcing the provisions of the Ordinance, except where another person or party is specified in the Ordinance.

1.1.15 Dismount Zone: Areas where cyclists, skateboarders, and non-motorized scooter drivers must dismount their vehicle. All motorized vehicles are prohibited in this zone.

1.1.16 Employees: The faculty (including a non-salaried visiting faculty), research/teaching/associate/intern (post-doctoral) employees, re-employed retirees (including those re-employed through the University's Phased Retirement Program), administrative officers, extension personnel, clerical personnel and all other non-student employees of the University employed part-time or full-time as permanent EPA, SPA, or temporary employees.

1.1.17 Fire Lane: Any area specifically marked, striped, signed or designated where vehicles are prohibited from parking, and/or any area in which direct and immediate access to a fire hydrant or firefighting apparatus would be blocked by a parked vehicle.

1.1.18 Intersections: A road junction where two or more roads either meet or cross at grade (at the same level).

1.1.19 Loading Zone: Any area designated by signs and proclaimed for use for loading and unloading materials and supplies.

1.1.20 Low Speed Vehicle: A four-wheeled vehicle whose top speed is less than 20 miles per hour. This includes, but is not limited to, golf carts, golf cart-type utility vehicles and gator-type utility vehicles.

1.1.21 Motorcycle/Moped/Scooter: Any motorized two or three wheeled vehicle capable of carrying a rider and which is currently exempt from North Carolina motor vehicle registration and licensing regulations.

1.1.22 Motorcycle: Any motorized two or three wheeled vehicle capable of carrying a rider and which is currently subject to North Carolina motor vehicle registration and licensing regulations.
1.1.223 No Parking Area: Any area not specifically marked, striped, or designated for parking. Parallel/angled spaces must be striped on each end of parked vehicle.

1.1.234 Operator: A person in actual physical control of a vehicle, which is in motion, stopped, or standing.

1.1.245 Park: The standing of a vehicle, whether occupied or not, other than while actually engaged in the loading or unloading of passengers.

1.1.256 Parking Area: Any place or area specifically set aside, marked or assigned by Transportation for the parking of vehicles, either permanently or temporarily.

1.1.267 Parking Meter: Any mechanical device activated by coin, credit card or cash key which enables an individual to purchase parking at a specific parking space in incremental time-limited units.

1.1.278 Parking Meter Space: Any space where a parking meter has been installed.

1.1.289 Parking Meter Zone: Any area, including on streets or in a parking lot, where parking meters are installed and in operation.

1.1.2930 Parking Services: The office designated by the Director of Transportation, which issues parking permits, keeps registration and permits records, records violations, and collects transportation fees and fines.

1.1.301 Pay Lot: Any parking lot or area where payment for parking is required based on the length of time the vehicle is parked. Pay lots may be operated by automated pay machine or by attendants who collect the parking fees.

1.1.31 Pay Lot Invoice: A payment request issued for daily parking fees incurred in a visitor parking area when there is no evidence that parking fees were paid at the time of use.

1.1.322 Pedestrian Safety Zone: Areas where cyclists, skateboarders, and non-motorized scooter drivers must either ride at the walking pace of the nearby pedestrians or dismount their vehicle. Pedestrians have the right-of-way in a pedestrian safety zone. All sidewalks, pathways, plazas, or walkways are pedestrian safety zones.

1.1.333 Personal Assistive Mobility device: A self-balancing device, designed to transport one person, with a propulsion system that limits the maximum speed of the device to 15 miles per hour or less. This includes, but is not limited to, electric wheelchairs and Segways.

1.1.344 Registered Vehicle: A vehicle, which has been registered with Transportation and is authorized to display a valid University parking permit.

1.1.355 Reserved Lot: A designated lot or part of a lot reserved for users who have purchased permits specifically for that lot.

1.1.366 Reserved Space: Any parking space, which is marked for a specific University parking permit, permit type, user or use.
5.3.A

1.1.372 Restitution: Compensation due to Transportation for the full value of a product/service without benefit of having made previous payment for the same.

1.1.388 Retired Employees: Individuals who have separated from employment with North Carolina State University because of completion of an appropriate term of service, or due to a mental or physical disability, and who are drawing annuities from one of North Carolina State University's retirement programs, and are not receiving compensation for current services. (Employees participating in the Phased Retirement Program are not considered retired employees. PRP employees retain their pre-employment permit and gate card, and continue to pay the regular permit rate for the duration of the three-year PRP assignment.)

1.1.399 Service Provider: One who is providing repair and/or maintenance of equipment or facility. Exceptions to this definition are by Transportation approval only.

1.1.404 Sharrow: An on-the-street marking denoting a “safety zone” where cyclists can ride on the street without being hit by an opened car door. These markings may also denote where cyclists should be riding, such as at intersections with multiple turn lanes. A sharrow also serves to alert both cyclists and drivers that the lane is for both types of vehicles.

1.1.411 Sidewalks: All property along or by any street, highway, or roadway which is intended for pedestrian use and which lies between the curb line and lateral line of any street, highway, or roadway and the line at which the use of property for purposes other than pedestrian traffic ends.

1.1.422 State: When unmodified, means the State of North Carolina.

1.1.438 Stop: When required, means complete cessation of movement. When prohibited, means any stopping of a vehicle except when necessary to avoid conflict with other traffic or in compliance with the direction of a law enforcement officer or traffic control sign or signal.

1.1.444 Traffic Signal: A road signal that flashes a red, green, or amber warning light to direct traffic to stop, proceed, or proceed with caution.

1.1.455 Store: The parking of a bicycle or vehicle for a continual period of more than twenty-four hours, or the parking of a bicycle or vehicle with the intent that it shall not be moved for a period of at least 24 hours.

1.1.466 Street, Highway, or Roadway: The entire width of a corridor designed or marked by proper authorities for vehicular traffic.

1.1.472 Student: Any person registered with the University as a full-time, part-time, graduate, or other special student. This does not include employees of the University who are in a full-time permanent position and subject to the SPA or EPA guidelines, and are taking one class per semester.

1.1.488 Temporary Employee: Any non-student part-time or full-time temporary (nonpermanent) employee of the University. This does not include Graduate Research Assistants and Teaching Assistants.

1.1.499 Traffic Way: Any way, area, or region where vehicles or bicycles are permitted to be operated or parked.
5.3.A

1.1.50 Transfer Students: Any student who enrolls at NC State University and receives credit for class hours from another college or university, and has been verified through University Registration and Records as a transfer student.

1.1.51 Transportation: The North Carolina State University department in the Administrative Services Center on Sullivan Drive is responsible for, but not limited to: transportation planning, transit services, enforcement of rules and regulations for parking and traffic, registration of vehicles, distribution of permits, issuance of parking penalties, collections of transportation receipts and the upkeep, renovations, and construction of transportation facilities.

1.1.52 Travel Lane: That portion of the road, street, or way between the centerline and curb on which vehicles or bicycles are permitted to operate, but where parking is prohibited.

1.1.53 University: Unless otherwise provided, North Carolina State University at Raleigh.

1.1.54 University Holidays: Those days named by the Chancellor as Official University Holidays. This does not include Fall and Spring Break, or other student breaks.

1.1.55 University Partner: Any non-University agency or business, or employee of such, leasing space from the University, which is located on one of the University's Campuses or properties.

1.1.56 Unregistered Vehicle: Any vehicle on campus not registered with Transportation.

1.1.57 Unsettled Fines, Fees and Charges: Any fines, fees, and charges (monetary or otherwise) levied by Transportation which have not been resolved by payment of outstanding debts, return of a parking permit or gate card as specified by Transportation, the Director of Transportation, or other University Agencies.

1.1.58 Vehicle: Every device in, upon, or by which any person or property is or may be transported or drawn upon a highway, except devices moved by human power or used exclusively upon fixed rails or tracks; provided, that for the purpose of this Ordinance, bicycles shall be deemed vehicles, and every rider of a bicycle on the campus shall be subject to the provisions of this Ordinance governing traffic and parking. This term shall not include a device which is designed for and intended to be used as a means of transportation for a person with a mobility impairment, or who uses the device for mobility enhancement, including on sidewalks, and is limited by design to 15 miles per hour.

1.1.59 Visitor: Individuals not identified by this section as an employee, student, University partner or temporary employee. May also include non-salaried visiting faculty and adjunct faculty.

1.1.60 Visitor Voucher Fee: A payment request issued for daily parking fees incurred in a visitor parking area when there is no evidence that parking fees were paid at the time of use.

1.1.61 Walk or Walkway: A path designed for or marked for exclusive use by pedestrians whether along a street, roadway or other areas.

1.2 Authority

1.2.1 As provided by North Carolina General Statute Chapter 116-44.4 the Board of Trustees of North Carolina State University adopts these Parking and Transportation Ordinances, and through their
designee, the Director of Transportation, shall be responsible for the registration, flow, and parking of vehicles on property owned or leased in whole or in part by the State of North Carolina and which is under the control of the Board of Trustees of North Carolina State University.

1.2.2 The Director of Transportation, acting pursuant to the authority vested by this Ordinance and the Board of Trustees, shall exercise discretion and authority in a manner as to assure the proper conduct of the necessary business of the University and the effective utilization and control of the available parking areas and facilities on the campus of the University for the benefit and maximum convenience of visitors, students and employees.

The Director of Transportation is authorized to issue exceptions to regulations within this Ordinance, to issue temporary regulations and suspend enforcement of parking regulations to allow for the benefit and maximum convenience of visitors, students, and employees. The Director of Transportation retains the right to authorize or deny the use of or closing of campus streets and parking lots. The Director of Transportation retains the right to remove vehicles from closed streets and/or parking lots.

The Director of Transportation may suspend enforcement of parking regulations to allow for special events on campus. Exceptions to regulations, temporary regulations and enforcement suspensions are valid only for when and how specified, and shall not be considered precedent for future situations.

1.2.3 Posting notice of this Ordinance: The Director of Transportation shall post notice of this Ordinance and the General Statutes of North Carolina Chapter 116-44.4 to the public.

1.2.4 Filing of this Ordinance:

All ordinances adopted under this Part shall be recorded in the minutes of the board of trustees. Each board of trustees shall provide for printing and distributing copies of its traffic and parking ordinances.

1.2.5 Liability: North Carolina State University assumes no liability or responsibility for damage to or theft of any vehicle parked or in operation on the properties leased or under the control of the Board of Trustees of North Carolina State University.

1.2.6 The provisions of this Ordinance shall apply to all NC State University employees, students, partners, vendors, contractors and visitors, as well as the operators of all vehicles, whether public or private, and they shall be enforced 24 hours a day, except as herein provided. It shall be unlawful for any operator to violate any of the provisions of the Ordinance, except as otherwise permitted in this Ordinance or the General Statutes of North Carolina.

1.2.7 The operator of any vehicle shall obey the lawful instruction of any law enforcement officer, parking enforcement officer, traffic officer, and any official traffic signs or control devices appropriately placed and in accordance with the provisions of these regulations. Whenever a particular section does not state that signs are required, such section shall be effective without signs being provided.

1.2.8 Nothing in this Ordinance shall be deemed to prohibit authorized vehicles of the University, or its agents, or of any public utility company from making any such stops as the establishment and maintenance of streets, grounds, water supply, and utility lines require. It is unlawful to drive or park a motor vehicle on sidewalks, grass, or shrubbery unless such areas are designated for parking.
1.2.9 Monies: Any monies collected pursuant to this Ordinance shall be used for staffing of Transportation, enforcement, planning for services, parking operations, consultants, construction and maintenance of parking facilities, and such other purposes as deemed necessary by the Chancellor to carry out the transportation program at North Carolina State University or as otherwise designated by North Carolina General Statutes.

1.3 Violation of Ordinance

1.3.1 In addition to the criminal penalties set out by North Carolina General Statute, any person violating this or any regulations issued hereunder is subject to a civil penalty as set forth in this Ordinance. In addition to any civil penalty that may be imposed, Administrative Sanctions may also be imposed if an offender does not pay a validly due penalty or upon repeated offenses. Violations of these Ordinances are not infractions as defined in G.S. 116-44-4.

1.3.2 Rules of Evidence: When a vehicle is found parked or unattended in violation of this Ordinance it shall be considered prima facie evidence that the vehicle was parked:

a. By the person holding a University parking permit for that vehicle
b. By the person registered with the University for a parking permit displayed on that vehicle or
c. By the person on file as the vehicle's owner with the North Carolina Division of Motor Vehicles, or corresponding agencies of another state or nation.

2. LOW SPEED AND TWO OR THREE WHEELED VEHICLES

2.1 Motorcycles/Mopeds/Scooters

2.1.1 Motorcycles, mopeds and scooters must have valid parking permits to utilize a campus parking space. North Carolina State University employees, students, employees of corporate partners and employees of other entities with offices on one of the University's campuses are eligible to request a parking permit.

2.1.2 Permits are purchased from Transportation. Anyone who has a valid permit for an automobile may obtain one motorcycle/moped/scooter permit for his or her personal use at a reduced rate. Motorcycle permits may not be used as part of a carpool.

2.1.3 The permit must be affixed to the front fork of the motorcycle, displayed visibly on the frame of the moped, or in an approved holder.

2.1.4 Mopeds and/or Scooters may be parked at bicycle racks without a parking permit if they do not block pedestrian access in any manner in excess of that of a bicycle.

2.1.45 Motorcycles/scooters/mopeds are permitted to operate prohibited from operating on sidewalks, plazas and in pedestrian safety zones, provided that: 1) pedestrians have the right-of-way, 2) vehicles are operated at speeds that do not endanger pedestrian or operator safety, 3) vehicles are
dismounted in areas of pedestrian congestion. Persons failing to safely navigate these pedestrian areas are subject to fines/citations.

2.1.56 Any motorcycle/scooter/moped deemed to not be mechanically safe by Transportation, or with a gas or oil leak may be immediately impounded. Any scooter/moped that appears to be abandoned may be impounded following the same procedure as followed for bicycles as described in 2.2.4.

2.2 Bicycles

2.2.1 For the purpose of this Ordinance, bicycles shall be deemed vehicles, and every rider of a bicycle on the campus shall be subject to the provisions of the Ordinance with the modifications issued in this section.

2.2.2 Bicycles must be parked and/or secured only to bicycle racks. Bicycles found in the following areas are subject to immediate impoundment:

1. next to a yellow curb
2. on the sidewalk
3. in a driveway
4. against trees or posts
5. in stairways or on handrails
6. in hallways or classrooms
7. at building entrances
8. in any manner which could impede the flow of pedestrian, or vehicular traffic
9. parking meters or signposts.
10. impound

2.2.3 Registration of Bicycles

a. Registration of Bicycles: All bicycles, which are operated, parked, or stored, on the campus by any employee, student, or corporate partner should be registered with Transportation.

b. Bicycle Permits: Bicycle permits are not transferable (either between persons or assigned bicycles). If a bicycle permit becomes damaged, or if the owner acquires a new bicycle, then the owner should obtain a replacement permit from Transportation.

c. Effective Period: Initial registration shall be effective from the day registration is completed, and shall not expire except when the registration permit is removed from the bicycle to which it was assigned; or there is a change of ownership of the bicycle.

2.2.4 Bicycle Impounding

a. Any bicycle may be impounded if such bicycle appears to have been abandoned.

b. In case of any registered bicycle so impounded, notice shall be sent within 15 working days after such impounding to the registered owner at the place of residence designated on the last registration form on file with Transportation.

b. In the case of any unregistered bicycle so impounded, Transportation shall make reasonable inquiry to identify the owner or the person entitled to possession thereof, and shall within 15
5.3.A working days after such impounding, provide written information to Campus Police specifying:
1) the location where the bicycle was impounded, and 2) the color of the bicycle.
d. Any impounded bicycle, which is not redeemed within ninety days after notice, shall be
surplused at the NC State University Surplus Property Office for sale in accordance with NC
State University procedures.

2.2.5 Operation of a Bicycle

Required Adherence to Traffic Laws: Every person operating a bicycle shall do so in adherence with
traffic control devices and rules of the road applicable to motor vehicles under: North Carolina state
laws as prescribed in the General Statutes of North Carolina Chapter 20, Motor Vehicles and these
Parking and Transportation Ordinances for North Carolina State University (see section 6.0 Traffic
Regulations). Persons who violate this subsection are subject to fines/citations.

2.2.6 Operation of a bicycle in pedestrian safety zones: Cyclists are permitted, though not encouraged,
to operate their vehicle in pedestrian safety zones provided that 1) pedestrians are given the right-of-
way, 2) vehicles are operated at speeds that do not endanger pedestrian or cyclist safety, 3) vehicles are
dismounted in areas of pedestrian congestion. Persons failing to safely navigate these pedestrian areas
are subject to fines/citations.

2.2.7 Operation of a bicycle in dismount zones: Cyclists must dismount their vehicle in a dismount
zone. Persons who violate this subsection are subject to fines/citations.

2.3 Skateboards/Roller Skates/In-line Skates

2.3.1 Skateboards, roller skates and inline skates shall be considered a means of transportation on NC
State campus. In point-to-point progression, ollies (the event of the rider jumping the device from the
ground) and manuals (where only two wheels remain in contact with the ground in an exhibition of
balance) shall be considered legal activities.

2.3.2 The use of skateboards, roller skates or inline skates on all of NC State University shall be
tolerated beyond a 50-foot radius surrounding all school buildings, and as a means of point-to-point
transportation as defined above. As such, obstacles such as staircases, ledges, benches and flower
planters shall be off limits to the riders due to the inherent destruction of property that may result from
such activities.

2.3.3 Grinding (i.e., frictional contact between any part of the skateboard and a ledge, plant or bench)
shall be illegal due to applicable damage to university property. Certain obstacles may be set up by
campus recreation for permitted use outside of parking and pedestrian areas.

2.3.4 Skaters must be responsible in consideration of pedestrians and vehicular traffic. Reckless
operation, whereby the rider upholds no concern for the safety of others, constitutes a violation of
acceptable skateboard use.

2.3.5 Violations of this regulation by students, faculty, or staff shall be enforced in accordance with
current University guidelines for violations of the University Student Code of Conduct or the
University disciplinary policy for employees. Individuals who violate this regulation and are not
affiliated with the University may be trespassed from the University. In addition, the skateboard, roller
skates, or in-line skates may be temporarily confiscated for possible use in a University hearing.
2.3.6 Persons who violate this section 2.3 are subject to fines/citations.

2.3.7 Violation of section 2.3 by visitors may result in the person being asked to leave campus. Future violations or failure to leave the campus may result in an arrest for trespassing. The skateboard, roller skates, or in-line skates may be seized for use as evidence in a criminal proceeding.

2.4 Low Speed Vehicles (Gators, Kubotas, Mules, Golf Carts)

2.4.1 **Authorized Use** - Acquisition, use, and parking is limited to University departments and University contractors with a valid business need. Departments or contractors operating gators, mules or golf carts are expected to comply with all provisions of this document. Personally owned gators, mules or golf carts are prohibited from operating on university property. Any exceptions must be approved by Transportation.

2.4.2 **Valid Business Need** - Defined as: transporting personnel, equipment, and/or supplies for University purposes when other transportation means are unavailable or problematic; or transporting employees, students, and/or guests with temporary or permanent disability-related needs.

2.4.3 **Authorized Operators** - Operation of low-speed vehicles is restricted to University employees and students designated by the Department Head. Each department shall maintain a current list of approved operators.

2.4.4 **Registration** - All Low Speed vehicles are required to be registered with Transportation. Transportation provided decal must be displayed on the vehicle to provide for identification.

2.4.5 **Approved and Prohibited Areas** – Gators, mules and golf carts may travel on University roads, streets and in University parking lots. They may be operated on sidewalks provided that pedestrians have the right-of-way and vehicles are operated at speeds that do not endanger pedestrian safety. Generally, these vehicles should not be operated in areas of pedestrian congestion or on sidewalks during times of class change. Persons failing to safely navigate these pedestrian areas are subject to fines/citations.

Additionally, these vehicles should not be operated on the grass except when necessary for a temporary detour. These vehicles may not be operated on streets or roads where the speed limit exceeds 35 miles per hour, except to cross such street or road.

2.4.6 **Parking** – Gators, mules and golf carts must display a valid University parking permit for the appropriate space or zone when utilizing a parking space. Parking is prohibited on sidewalks and grass in a manner that blocks any pedestrian access or route.

2.4.7 **Specifications** – Gators, mules and golf carts must be equipped with headlamps, horn, reflex reflectors and parking brakes.

2.4.8 Operators of gators, mules and golf carts must possess a valid operator’s driver’s license.

2.4.9 **Safety and Protection**
   a. General – Gators, mules and golf carts shall not be operated in a manner that may endanger occupants or nearby individuals and property.
5.3.A

b. Speed Limits - Operators shall not exceed the posted or designated speed limit when operating
gators, mules and golf carts on any street, road, or parking lot. In areas of congestion,
operators must reduce speed to the equivalent of a slow walking pace.
c. Traffic Laws and Defensive Driving - Operators shall operate gators, mules and golf carts in
compliance with all applicable laws and University traffic and parking rules. Additionally,
operators shall operate in a safe and responsible manner with due regard for the driving
conditions.
d. Passenger Limit and Load Capability - Operators shall ensure that the number of passengers
and their seating arrangement and/or the weight, type, and placement of the load do not exceed
the manufacturer’s recommendations.
e. Operator and Passenger Safety - Operators and passengers must keep their head, legs, and
arms inside the cab area of the gators, mule or golf cart. Operators and passengers should not
step or jump from the vehicle until it has stopped moving.

2.5 Personal Assistive Mobility Device

2.5.1 Use - An electric personal assistive mobility device may be operated on the public highways,
sidewalks and bicycle paths. A person operating an electric personal assistive mobility device on a
sidewalk, roadway, or bicycle path shall yield the right-of-way to pedestrians and other human
powered devices. A person operating an electric personal assistive mobility device shall have all rights
and duties of a pedestrian.

2.6 Impoundment

2.6.1 Bicycles, scooters, mopeds, motorcycles and other alternative modes of transportation are to be
stored in an appropriate manner at bicycle racks or other designated spaces. Those deemed to be
stored in a manner that creates a safety issue or inhibits pedestrian movement may be impounded by
Transportation.

3. PARKING PERMITS

3.1 General Terms and Conditions

3.1.1 All eligible individuals may request permits through Transportation. Visitors to Campus may
obtain a daily visitor parking permit or a temporary parking permit from Transportation. Parking
permits and access control devices remain the property of Transportation. Parking permits,
replacement permits, temporary permits, or access control devices may not be given, sold, or traded to
another person.

3.1.2 Failure to display an appropriate permit while parked in a permit-required zone or space shall
result in a fine.

3.1.3 All vehicles displaying an annual or multi-year permit must be registered with transportation.
Unregistered vehicles are subject to immobilization for identification purposes.
3.2 Employee Parking Permits

3.2.1 Eligible employees may request a parking permit at any time during the year. New employees must provide Transportation with the required documents verifying their employment with the University. Employees are not eligible to use visitor permits. Employees are not eligible to purchase the following permits: SV, UV, UD, RE, RW, RC, RP, P, CC, DD and W.

3.2.2 Employee requests shall be assigned based on availability.

3.2.3 Employees who have their permit cost paid through payroll deduction must return their permit upon termination of employment with the University. Individuals are responsible for monthly payment until they return the parking permit. Vehicles displaying unauthorized permits are subject to booting, the owner being fined, and restitution on the value of the permit.

3.2.4 Permit Returns

a. Employees approved for medical leave or approved for scholarly leave, may elect to return their parking permit and stop payroll deductions during the time they are on approved leave. Documentation of approved leave is required. These employees will be eligible to receive the same permit type when they return to the University and reinstate their payroll deducted parking fees. Employees who do not return their permits will be responsible for parking fees during their absence. This policy does not apply to University holidays and academic break periods.

b. Employees who voluntarily return their B or U permit for any reason other than medical or scholarly leave will not be reissued a B or U permit type upon return. These employees will be issued a C or lower permit and may request to be added to the B waitlist.

3.2.5 Employees participating in the pretax program for monthly parking permits deductions shall have their refunds adjusted for income tax. These refunds are adjusted by, and mailed from, University Payroll. Employees not participating in the pretax program shall not have their refund adjusted for income tax. Transportation shall prepare and mail these refunds.

3.2.6 Special Faculty

Salaried Visiting, Clinical, Research, Extension and USDA/USDI are considered employees of the University. Employee parking policies and permit eligibility apply to these individuals.

3.2.7 Retired University Employees

Retired NCSU employees may request a "Retiree," or "R," permit if they wish to visit the University. "R" permits may be sold at a lesser rate than permits for employees. Verification of retirement is required at the initial application, and annually to renew the permit.

A retired employee who returns to work in either a part-time or full-time capacity must notify Transportation and return the "R" permit. The individual must purchase a regular-priced employee permit to park on campus while working.

Individuals who falsify employment or compensation information are subject to suspended parking privileges. Permits issued to retirees may not be used by other individuals to attend work or classes on campus.
3.2.8 Phased Retirement participants are considered employees

3.2.9 Permanent Part-time and Full-time Employees—Payroll Deduction

Benefits eligible permanent employees receiving paychecks monthly or biweekly for twelve months a year are eligible to have their monthly parking permit fee deducted from their paycheck. They may choose to have the permit fees deducted before or after taxes; i.e., on a pre-taxed gross basis before state and federal taxes are deducted, or taken from their net if after taxes. (Employees should consult their tax advisors before deciding on pretax or after-tax permit deductions.) If an individual leaves the University employment prior to the expiration of their parking permit, they are responsible for returning the permit to Transportation in order to stop payroll deduction. If permit fees cannot be collected through payroll deduction, and the individual has not returned the permit, they shall continue to be responsible for payment of the permit until it is returned to Transportation.

3.2.10 Temporary Employees

Individuals employed in a nonpermanent position or capacity, or through University Temporary Service (UTS) may request a parking permit. Verification of employment, including duration of employment is required. Payment for the permit shall be made by cash, check or credit card. Payment must be for the full amount due on the parking permit. No Partial Payments are accepted. Payroll deduction is not permitted. Permits may be purchased on a monthly basis at a rate equal to one-twelfth the annual cost of the permit. Shorter-term employment shall allow for the purchase of permits at a daily or weekly rate. Temporary employees are not eligible for access to gated employee parking areas shall not be issued gate cards. Assignment of a parking permit and parking location shall be decided by Transportation based upon space availability. These individuals are not eligible to be placed on a permit wait list.

3.2.11 Nine Month Recurring Permanent Employees

Permanent employees in recurring positions may request annual parking permits. If the employee leaves the University prior to the expiration of the permit, they are required to return the permit to Transportation to stop payroll deduction. If permit fees cannot be collected through payroll deduction, and the individual has not returned the permit, they shall continue to be responsible for payment of the permit until it is returned to Transportation.

3.2.12 Individuals on Campus Employed by other Agencies or Government or Military Agencies

These individuals are eligible for parking under the guidelines for University employees. They are not eligible for payroll deduction of parking fees.

3.2.13 Employees of University Partners These employees are eligible for parking under the covenant of their leases with the University. They are not eligible for payroll deduction of parking fees.
3.2.14 **Adjunct Faculty**: Adjunct faculty members are expected to purchase a permit if they require parking on campus.

3.2.15 Eligible employees and departments can make requests for the parking permits listed in Section 3.2.18 below. Assignment of permits is based on availability, with consideration to the employee's primary work/office location.

3.2.16 Carpool and Vanpool Eligibility: employees may join a carpool or vanpool to reduce parking and driving costs. Carpool and vanpools must be registered with Transportation. Carpools require a carpool permit in order to park in designated spaces. Triangle Transit (TT) vans are not required to display a parking permit.

3.2.17 **Electric Vehicle Charging Stations**: Vehicles utilizing EV (Electric Vehicle) Charging Stations are required to purchase and display an EV access permit in addition to the appropriately designated parking permit for the area in which the EV station is located. Use of these spaces is limited to four (4) hours per day and the vehicle must be charging while parked.

3.2.18 **Employee Parking Permits**: The following provides the general locations and proximity of areas that may be designated for employee parking.

<table>
<thead>
<tr>
<th>PERMIT</th>
<th>GENERAL CAMPUS AREA FOR PERMIT ASSIGNMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;B&quot;</td>
<td>North Campus Gated Area, North Hall Staff Portion, Hillsborough Square, Pullen Road, Nelson West, Brooks Lot, Carter Williams Lot, Hillsborough East and West Lots. Coliseum Bays (Jeter Dr.), Case Center Lot, Steam Plant Lot, Carmichael, Ferndell Lane Lot, Centennial Campus, South West Campus areas, Dan Allen Deck, Method Road Greenhouse, Centennial Biomedical Campus, Central Campus area and South Central Campus, Avent Ferry Complex, Greek Village, E.S. King Village, Wolf Village, Western Manor.</td>
</tr>
<tr>
<td>&quot;C&quot;</td>
<td>Coliseum Parking Deck, Designated areas and times</td>
</tr>
<tr>
<td>&quot;L&quot;</td>
<td>Designated Bicycle Parking throughout campus</td>
</tr>
<tr>
<td>&quot;BB&quot;</td>
<td>Designated Motorcycle Parking throughout campus</td>
</tr>
<tr>
<td>&quot;U&quot;</td>
<td>Allows access to North Campus Areas by employees or departments who do not reside on North Campus.</td>
</tr>
<tr>
<td>&quot;R&quot;</td>
<td>&quot;B&quot; and lower zone areas for retired employees</td>
</tr>
<tr>
<td>&quot;V&quot;</td>
<td>Varsity Drive Lots (portion)</td>
</tr>
</tbody>
</table>

3.3 **Student Parking Permits**

3.3.1 **Eligibility**:

a. Students are not eligible for the following permits: “AS”, “A4”, “SP”, “SV”, “U”, “UD”, “R”, “UV”, “B” or “C.” Students are not eligible to use visitor permits.

b. All students, including freshmen, are eligible to purchase parking permits, based on space availability. All students are eligible for bicycle and motorcycle parking permits.

c. Students living at University Towers, Val Commons and the College Inn are not eligible for parking permits. Residents of privately owned proximate student housing facilities are not
5.3. A

eligible to purchase campus parking permits. This includes but is not limited to University Towers, Val Commons, Stanhope and the College Inn.

d. Resident students:

1. Greek Village, Avent Ferry Complex, E.S. King Village and Wolf Village are only eligible for "P" parking permits.
2. Students who live in University housing on Main Campus are eligible for “RE”, “RP”, “RW”, “RS” permits.
3. Eligible E.S. King Village and Western Manor residents may purchase a “P”, “CC” or “CD” permit.
4. Students who live in University Housing on Centennial Campus are eligible for “RC” and “RS” permits.

e. Eligible commuting students may purchase parking permits for:

2. Permit "L" if parking is needed 7 a.m. to 9 a.m. or after 3 p.m.

f. Other Parking Options for Students

1. Commuting students of any class may park in the Wolfline Park and Ride Lots to ride transit to and from campus. There is no parking fee required in these lots. Overnight parking is prohibited.
2. Commuting students may park in pay lots on campus at the rates posted. Overnight parking is prohibited in pay lots.

g. Student permits may be turned in for a prorated refund through the first Friday of May.

3.3.21 The following provides general locations and proximity of areas that may be designated for student parking.

PERMIT GENERAL CAMPUS AREA FOR PERMIT ASSIGNMENT

“CC” Designated Centennial Campus Decks and Centennial Biomedical Campus Deck / CVM, E.S. King, Western Manor
“CD” Coliseum Parking Deck Area
“DD” Dan Allen Deck
“RC” Residence Hall Areas on Centennial Campus proximate to Wolf Ridge.
“RE” Residence Hall areas located East of Dan Allen Drive
“RP” Resident Perimeter Lot adjacent to West Deck
“RW” Residence Hall areas located West of Dan Allen Drive
“W” Main Campus West Deck
“P” Avent Ferry Complex, Greek Village, E. S. King Village, Wolf Village and Centennial Campus Perimeter Lots and Western Manor
“L” CC, CD, DD, P and W 7 a.m. to 9 a.m. and after 3 p.m.
“BB” Designated Bicycle Parking Throughout Campus
“M” Designated Motorcycle Parking throughout Campus at specific locations
“RS” Centennial Campus Perimeter Lots
“V” Varsity Drive Lots

3.3.32 Student Parking Permits:
Eligible students may request parking permits that are applicable to their residence location or commuter status.

<table>
<thead>
<tr>
<th>Student Residency Status</th>
<th>Applicable Parking Permits</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Resident Students</strong></td>
<td></td>
</tr>
<tr>
<td>Wolf Ridge</td>
<td>RC, RS</td>
</tr>
<tr>
<td>North Hall</td>
<td>RE, RP, RS</td>
</tr>
<tr>
<td>Watauga, Syme, Gold and Welch</td>
<td>RE, RP, RS</td>
</tr>
<tr>
<td>Berry, Becton and Bagwell</td>
<td>RE, RP, RS</td>
</tr>
<tr>
<td>Wood, Alexander, Owen, Turlington and Tucker</td>
<td>RE, RP, RS</td>
</tr>
<tr>
<td>Metcalf, Bowen, Carroll</td>
<td>RE, RW, RS, RP</td>
</tr>
<tr>
<td>Lee, Sullivan and Bragaw</td>
<td>RW, RS, RP</td>
</tr>
<tr>
<td>Greek Village</td>
<td>P</td>
</tr>
<tr>
<td>E S King Village</td>
<td>P, CC</td>
</tr>
<tr>
<td>Avent Ferry</td>
<td>P</td>
</tr>
<tr>
<td>Wolf Village</td>
<td>P</td>
</tr>
<tr>
<td>Western Manor</td>
<td>P, CC</td>
</tr>
<tr>
<td><strong>Commuting Students</strong></td>
<td></td>
</tr>
<tr>
<td>Commuting Students (Including Graduate Students)</td>
<td>CC, CD, DD, W, V, P</td>
</tr>
</tbody>
</table>

3.4 Permits for Others

3.4.1 Permits for Departments

a. Departments can obtain Short-Term Temporary permits for unloading/loading materials and supplies at designated loading areas or zones.

b. Service, Academic and Administrative departments may purchase UD (Universal Departmental) permits for employees to use while conducting University-related business.

c. Service departments may purchase SV permits for State-Licensed vehicles used to provide service as defined in Section 1.1.38 of this Ordinance.

d. Departments may purchase Loading/Unloading permit hangtags to facilitate short term departmental loading and/or unloading needs. Gate access is included with these permits. The permit validates parking up to 30 minutes in designated Loading/Unloading spaces. Displayed on a state-licensed vehicle, the permit validates long term parking on the top level of the Dan Allen deck and in the Hillsborough Square lot.
3.4.2 Visitor Parking and Permit

a. Visitors must purchase a Daily Visitor parking permit or use an hourly pay lot.
b. Campus departments, employees or students who sponsor events on campus, or invite visitors, are responsible for arranging parking for their visitors.
c. Students and employees are not eligible to use visitor permits.

3.4.3 Permits for Service Providers, and Cartage

a. Companies delivering supplies and materials on campus are not required to purchase a parking permit if they have a visible company logo displayed on the vehicle, and if the vehicles are parked in an unreserved parking space or designated Loading/Unloading space. Vehicles may not pull up on curbs, sidewalks, landscape areas, other no parking areas, or block traffic.
b. Service providers who are performing maintenance or repair to campus infrastructure, buildings or equipment must purchase a parking permit to park on campus. Salespersons must purchase a parking permit to park on campus.
c. Public Service Companies performing repairs or surveys of utility infrastructures are not required to purchase a parking permit if they have a visible logo displaying their company name and service on the vehicle. Vehicles must park in parking spaces, and may not pull up on curbs, sidewalks, landscape areas or other no parking areas, or block traffic while performing their duties. The work performed may not exceed a frequency that requires the vehicle to be on campus for more than one day per week. Work that requires use of parking or may impact parking for longer periods must be reviewed and approved by Transportation. Failure to make appropriate parking arrangements shall be considered in violation of this Ordinance.

3.4.4 Special approval is required for the following permits:

<table>
<thead>
<tr>
<th>Parking Permit</th>
<th>Authorization Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>AS, T</td>
<td>Vice Chancellor of Finance and Administration Business</td>
</tr>
<tr>
<td>SV, UD, UV, SP</td>
<td>Transportation</td>
</tr>
<tr>
<td>Accessibility (AH)</td>
<td>Transportation</td>
</tr>
<tr>
<td>R (Retirees only)</td>
<td>Transportation/Requestor's previous Department Head</td>
</tr>
<tr>
<td>RD</td>
<td>Transportation/University Housing</td>
</tr>
<tr>
<td>SL</td>
<td>Transportation/Student Leader Coordinator</td>
</tr>
</tbody>
</table>

3.4.5 Accessibility Parking

Any employee (including employees of corporate partners or employees of other entities located within the University) or student who, because of a short-term or permanent disability, requires a vehicle on campus, must apply for a parking permit to park in an accessible space. The individual is responsible for providing Transportation with all information required to process and review their...
5.3.A

request for an exception due to disability. A current state-issued accessibility placard is required for long-term disabilities.

Requests will be reviewed by Transportation (with assistance from Student Health Services and the Disability Compliance Office). All possibilities for accessible travel for the student shall be considered, and a decision shall be made for the best alternative.

3.4.6 Trustee Permits

Members of the Board of Trustees of North Carolina State University shall be issued ("T") permits at the beginning of each academic year at the direction of the Chancellor.

3.4.7 Student Leader Permits

a. Student Leader permits shall be issued to specific Student Leader positions upon receipt of a completed application from the individual holding that position. Transportation maintains a list of eligible positions.

b. Permits for new leaders shall be issued only after the outgoing leader for that position has returned the previously assigned permit.


3.4.8 Permits for Non-Student Residents of E.S. King Village and Western Manor

Non-Student residents who live at E.S. King Village or Western Manor and have a vehicle, must display a valid University parking permit on the vehicle.

3.5 Permit Costs

The Board of Trustees hereby directs the Director of Transportation to collect parking fees for parking permits as follows:

<table>
<thead>
<tr>
<th>Permit</th>
<th>Academic Year 2015-2016</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Table 5.3.A**

<table>
<thead>
<tr>
<th>Type</th>
<th>Employees, Departments and Others*</th>
<th>Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>AS</td>
<td>$449,911.13</td>
<td>N/A</td>
</tr>
<tr>
<td>UV</td>
<td>$414</td>
<td>N/A</td>
</tr>
<tr>
<td>UV</td>
<td>$275</td>
<td>N/A</td>
</tr>
<tr>
<td>A-Lot4</td>
<td>$801,819</td>
<td>N/A</td>
</tr>
<tr>
<td>B, U, UD</td>
<td>$442,546</td>
<td>N/A</td>
</tr>
<tr>
<td>SP, SV</td>
<td>$414</td>
<td>N/A</td>
</tr>
<tr>
<td>R</td>
<td>$447</td>
<td>N/A</td>
</tr>
<tr>
<td>C</td>
<td>$342,345</td>
<td>N/A</td>
</tr>
<tr>
<td>CPE</td>
<td>$111</td>
<td>N/A</td>
</tr>
<tr>
<td>RC, RE</td>
<td>$340,348</td>
<td>N/A</td>
</tr>
<tr>
<td>RW, CC</td>
<td>$336,348</td>
<td>$242,348</td>
</tr>
<tr>
<td>DD, SL</td>
<td>$336,348</td>
<td>$242,348</td>
</tr>
<tr>
<td>CD</td>
<td>$336,348</td>
<td>$242,348</td>
</tr>
<tr>
<td>CC, DD</td>
<td>$336,348</td>
<td>$242,348</td>
</tr>
<tr>
<td>W, RP</td>
<td>$342,345</td>
<td>$242,345</td>
</tr>
<tr>
<td>P</td>
<td>$68</td>
<td>$68</td>
</tr>
<tr>
<td>M</td>
<td>$68</td>
<td>$68</td>
</tr>
<tr>
<td>RD</td>
<td>$336,348</td>
<td>$242,348</td>
</tr>
<tr>
<td>SL</td>
<td>$336,348</td>
<td>$242,348</td>
</tr>
<tr>
<td>L</td>
<td>$336,348</td>
<td>$242,348</td>
</tr>
<tr>
<td>T</td>
<td>Trustee Permit $447.00</td>
<td>N/A</td>
</tr>
<tr>
<td>V</td>
<td>$402,115</td>
<td>$402,115</td>
</tr>
<tr>
<td>RS</td>
<td>N/A</td>
<td>$495,275</td>
</tr>
<tr>
<td>LZ</td>
<td>$120</td>
<td>$120</td>
</tr>
</tbody>
</table>

*"Others" represents non-University companies or individuals and University Partners.

3.6 Temporary Replacement Permits

3.6.1 Authorized permit holders may receive a temporary replacement permit if a vehicle they are driving to campus does not have the permit displayed.

a. Permit holders are not entitled to obtain a temporary permit if the vehicle, which is displaying the original permit, is parked on campus.

b. Transportation reserves the right to limit the number of temporary replacement permits issued to an individual. Permit holders are limited to obtaining replacement permits up to (6) six times per fiscal year. Consecutive business days constitute one replacement use.

c. No refunds will be issued for temporary permits.

3.7 Affixing/Displaying the Permit (Automobiles)

3.7.1 Permits must be displayed in the intended manner for the type of permit issued. The entire permit must be clearly visible and cannot be obscured in any way. Hang tag permits must be displayed hanging from the rearview mirror. If no rearview mirror exists, the permit must be displayed face up on the dash in the right hand (passenger) or left hand (driver) side of the front windshield. Adhesive or
5.3. A static cling permits must be affixed to the right hand (passenger) or left hand (driver) side of the front windshield with the original adhesive material provided on the permit.

3.7.2 Daily Visitor, Accessibility, or Access Hang Tag permits must be placed on the rearview mirror so that the permit number faces out. In vehicles without suspended mirrors, place permit number side up on right hand (passenger) side of dashboard. Non-hanging permits are to be displayed on the left hand (driver) side of dashboard.

3.7.3 A violation of this section (Improper Display of Permit) may result in a fine.

3.8 Permit Replacement

3.8.1 Replacement

If a permit holder can return an identifiable portion, including the number of the permit, and the permit is registered to that individual, then he may receive a replacement free of charge.

3.8.2 Charges for Replacement

a. If a permit has been lost or stolen, the person to whom the permit was registered may receive a replacement permit for a processing fee of $10.

b. A lost or stolen permit report must be filed with Transportation prior to replacement.

c. If a lost/stolen permit is found, it must be returned to Transportation and the processing fee shall be refunded.

d. Displaying and/or possession of a lost/stolen permit shall result in a fine, loss of parking privileges for up to one year, and the restitution cost of the permit, and/or gate card.

3.9 Unlawful transfer or Use on Unauthorized Vehicle

3.9.1 Parking permits and access control devices remain the property of Transportation and, as such, parking permits, replacement permits, and access control devices may not be given, sold or traded to another person.

3.9.2 A violation of this section (Unlawful transfer or Use on Unauthorized Vehicle) may result in a fine, loss of parking privileges for up to one year and/or restitution of said permit.

3.10 Forging, Counterfeiting or Altering of Permits

3.10.1 It is a violation to forge, counterfeit or alter a parking permit in any manner, way, shape or form.

3.10.2 A violation of this section (Forging, Counterfeiting or Altering permits) may result in a fine, loss of parking privileges for up to one year and/or restitution of the permit cost from beginning of the academic year up through recovery date of the counterfeit permit.

3.11 Presenting False Information

3.11.1 It is a violation to present, attempt to present or conspire to present information that an individual would have reason to believe is false, to any employee or agent of Transportation for the
5.3.A

purpose of obtaining a permanent or temporary parking permit, maintaining a parking permit, processing a petition/appeal or the purpose of deceiving any employee or agent.

3.11.2 A violation of this section (Presenting False Information) may result in a fine and/or loss of parking privileges for up to one year.

3.12 Carpools

3.12.1 Members of carpools are required to follow all procedures and regulations according to this Ordinance with the following modifications:

   a. Carpoolers must register with Transportation each vehicle that shall be driven to campus.
   b. One transferable permit shall be issued to the carpool.

4.0 PARKING REGULATIONS

4.1 Permit Enforcement

4.1.1 Non-Reserved Parking Spaces/Areas

Permit enforcement is between the hours of 7 a.m. and 5 p.m. Monday through Friday, in any unreserved parking space. “RC,” “RE” and “RW” areas are enforced from 7 a.m. to midnight, Monday through Thursday and 5 p.m. on Friday. During official University holidays permits are not required for unreserved spaces.

4.1.2 Reserved Parking Spaces/Gated "A"-Lots

Parking enforcement is twenty-four hours a day, seven days a week, including University Holidays. At all times, the appropriate permit for the reserved space/area/lot must be displayed on the vehicle.

4.1.3 If a gate to a reserved parking area is raised for any reason, enforcement shall be maintained for the permit(s) required for that area.

4.1.4 Specifically designated Client/Visitor Spaces are for use by individuals utilizing business services of the adjacent building and not for general employee parking. Noted time frames apply.

4.1.5 "L" zone permits may park in the “CC”, “DD”, “CD”, “W”, “P”, and “V” designated areas between the hours of 7 a.m. and 9 a.m. and after 3 p.m.

4.1.6 The Hillsborough East and West Lots require a "B" zone permit from 7 a.m. to 5 p.m. Monday through Friday, and ANY valid University permit at all other times. This lot is monitored 24 hours a day, 7 days a week.

4.1.7 The appropriate permit is required to be displayed at all times in any space marked "24 HOUR TOWING." A vehicle in violation is subject to a parking citation and immediate towing at the owner's expense.
4.1.8 Pay Lots shall be enforced during posted times noted at each lot entrance.

4.1.9 Multiple citations may be issued in in time limited spaces or areas.

4.1.10 A violation of this section 4.1 shall result in a fine and/or towing.

4.2 Permit Enforcement Areas

4.2.1 A current University Parking Permit is required to be displayed on the campus during the enforcement times, except while parking in parking meter zones or pay lots. Permit holders must pay the required fee for time parked at meters and in pay lots, even if a current permit is displayed on the vehicle.

4.2.2 Employee parking Permit Types are valid in the parking zone areas as indicated below

<table>
<thead>
<tr>
<th>Permit Type</th>
<th>Valid Permit Area(s) for Each Permit Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>AS</td>
<td>X X X X X X X X X X X X X X X X X X</td>
</tr>
<tr>
<td>U,R,UD</td>
<td>X X X X X X X X X X X X X X X X X X</td>
</tr>
<tr>
<td>CD</td>
<td>X X X X X X X X X X X X X X X X X X</td>
</tr>
<tr>
<td>V</td>
<td>X X X X X X X X X X X X X X X X X X</td>
</tr>
</tbody>
</table>

Notes:

1) "L" employee permits are valid in the B, CC, CD, DD, W, V and P zones 7 a.m. to 9 a.m. and after 3 p.m.
2) Visitor parking is provided in designated areas. A visitor permit must be displayed unless utilizing a pay lot.

4.2.3 Student parking permit types are valid in the parking zone area as indicated below.

<table>
<thead>
<tr>
<th>Permit Type</th>
<th>Valid Permit Area(s) for Each Permit Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>CC</td>
<td>X X X X X X X X X X X X X X X X X X</td>
</tr>
<tr>
<td>CD</td>
<td>X X X X X X X X X X X X X X X X X X</td>
</tr>
</tbody>
</table>

Notes:

1) "L" employee permits are valid in the B, CC, CD, DD, W, V and P zones 7 a.m. to 9 a.m. and after 3 p.m.
5.3 Areas receiving 24 Hour Enforcement

4.3.1 No Parking Areas

It shall be unlawful for any person to park a vehicle on the campus in any area or lot except in spaces marked or designated for parking. This includes drive lanes and driveways, intersections, landscape areas, and blocking of any pedestrian route or accessible aisle or route.

This section is not intended to prohibit the stopping of a vehicle, while actually loading or unloading passengers, yielding to an emergency vehicle, yielding to pedestrians or other traffic, following the direction of a traffic sign, signal or other device, the stopping of a public conveyance or by instruction of a law enforcement officer, so long as said vehicle does not obstruct any crosswalk, accessibility parking areas, walkway, intersection or access to any accessibility parking areas.

4.3.2 Chancellor's residence: No person shall park a vehicle at the Chancellor's residence, 1570 Main Campus Drive except for the Chancellor, his/her family and their visitors or invited guests.

4.3.3 Fire Lanes: Certain campus areas are designated as "fire lanes" and carry a more severe penalty, including a fine and 24-hour towing, for blocking these zones. Fire lanes are designated with pavement markings and/or signage. Yellow hatching or verbiage on the pavement may additionally define the area.

4.3.4 Fire Hydrants: Parking in a manner that blocks access to any fire hydrant, regardless of the presence of special "fire lane" designation, is a violation of this section.

4.3.5 Stand pipes: Parking in such a manner that blocks access to any standpipe or sprinkler system is a violation of this Ordinance.

4.3.6 Barrier Posts: Parking in front of or beyond removable barrier posts is a violation of this Ordinance.

4.3.7 Street Access: Certain streets, lanes or curbs may be designated by Transportation as fire lanes for other life safety reasons, such as high rise building access, fire truck turning radius, ambulance access, etc.

4.3.8 Access areas to Accessibility Parking: Parking in a manner that blocks a curb cut, path, and/or access point to an accessibility parking space. Parking illegally in an accessible parking space or blocking access to such a space is subject to 24-hour enforcement. This includes a fine and towing.

4.3.9 A violation of this section shall result in a fine and the vehicle is subject to 24 hour towing.

4.4 Parking Restrictions
5.3 A

4.4.1 A vehicle must always be parked in the manner and direction indicated by the parking markings and within the confines of the parking space. A vehicle may not encroach its wheels into another space.

4.4.2 No vehicle parked on campus may:
   a. be displayed for sale
   b. have maintenance performed on it, including washing, greasing, or repairing the vehicle except in the case of repairs necessitated by an emergency, and only then if the vehicle is in a marked space and has been reported to Transportation
   c. be exempted from ticketing because a note has been left on the vehicle windshield or flashing lights have been left on
   d. be stored in a manner which is not incident to the bonafide use and operation of the vehicle; or
   e. have a trailer attached to it when parked. Trailers may not park on campus without permission by Transportation.

4.4.3 No person shall park a vehicle in any space labeled "24 HOUR TOWING" unless the proper permit for that space is displayed on said vehicle.

4.4.4 No person shall park a vehicle in any space designated for accessibility parking unless the proper placard and/or permit for that space is displayed on the vehicle.

4.4.5 No person shall park a vehicle in a pay lot without payment for time indicated by ticket receipts received from an automated collection device, fee indicator, or posted sign.

4.4.6 A violation of this section 4.4 shall result in a fine except for subsections 4.4.3 and 4.4.4, which shall result in a fine and the vehicle is subject to towing.

4.5 Pay Lots/Pay Stations/Pay Devices

4.5.1 Any vehicle may park in lots designated as pay lots. Pay lots are controlled by automated collection devices and will be monitored by Parking Enforcement.

4.5.2 Hourly Pay Lots are located at the following locations. Parking fees in visitor lots are charged for the initial sixty (60) minutes or parking and then thirty-minute (30) increments thereafter. There are no refunds for unused time.

Gated Hourly Pay Lots:
   • Main Campus
     o Dan Allen Drive Parking Deck and Coliseum Deck
     Centennial Campus
     Partners Way Deck

Pay-By-Space Hourly Pay Lots:
   • Main Campus
4.5.3 A Visitor Voucher fee pay Lot invoice as defined in Section 5.1 will be issued when there is no evidence that parking fees were paid at the time of use. Failure to pay a visitor voucher fee pay lot invoice within ten (10) business days will result in a fine as defined in Section 5.1.

4.6 Timed Zones

4.6.1 It shall be unlawful for any vehicle to remain in a space or area with a designated time limit for more than the stated time.

4.6.2 A Violation of this section 4.6 shall result in a fine.

4.7 Repeat Offenders

4.7.1 Upon receiving the sixth (6) violation within any six month period, the vehicle shall be immobilized and placed on the tow/immobilization list. A maximum of one (1) meter violation per day shall count in total ticket count. Any additional violation of the Parking Ordinance may result in the vehicle being towed or immobilized. A vehicle shall remain on the tow/immobilization list for as long as six (6) tickets have been received in the immediate preceding six-month (6) period.

4.8 Prohibited Use of Streets and Transportation Facilities

4.8.1 Any person or group who wishes to use campus streets or transportation facilities for any purpose other than that which they are intended or for mass distribution or posting of information in the form of flyers or anything else put on vehicles parked on campus, or on facilities and structures, must first obtain authorization from Transportation. It shall be unlawful for any person, firm, or corporation to use the streets, roadways, alleys, driveways, sidewalks, parking lots or parking areas on the campus for the purpose of:

- Advertising any article, commodity, service or event by sign, poster, drawing or photograph, by crying out the same or by using any loudspeaker, musical instrument or noise making device, without expressed, written permission of the University.
- Selling or offering for sale any article, commodity or service except by those persons, firms or corporations who are official selling agencies of the University.

4.8.2 Any person or group who wishes to use campus streets or parking areas for any purpose other than normal academic or administrative activities must obtain authorization from the Director of Transportation.

- There may be a rental fee charged based on size of lot, length of use and location.
- There shall be a fee assessed for any labor and/or materials provided by Transportation.
- There shall be a cleaning and maintenance charge assessed for any work required to return a lot to its condition prior to rental, normal wear excepted.
4.9 Abandoned Vehicles

4.9.1 The Director of Transportation is hereby authorized to remove any vehicle that has been parked illegally for more than ten days, or which is determined to be "derelict" under North Carolina General Statute 20-137.7, and dispose of such vehicles as prescribed by North Carolina General Statute 20-137.6 to 20-137.14.

4.10 Blocking Vehicles/Disabled Vehicles

4.10.1 It shall be unlawful to park a vehicle in such a manner to prevent another vehicle from movement.

   a. Inoperable/disabled vehicles must be reported to NC State University Campus Police and/or Transportation.
   b. Inoperable/disabled vehicles left standing in driveways, driving lanes, tow lanes, blocking vehicles or other no parking areas are subject to being towed and fined.
   c. It is advised that the inoperable/disabled vehicle owner/driver move the car to the nearest unreserved, designated parking space and obtain the proper permit from Transportation immediately thereafter.
   d. Operators of disabled vehicles must obtain and display a disabled vehicle permit if no zone permit is displayed on the disabled vehicle.

5.0 ENFORCEMENT

5.1 Penalties

5.1.1 The Director of Transportation is hereby authorized to collect a fine in the following amount for a violation of this Ordinance.

<table>
<thead>
<tr>
<th>Violation Code</th>
<th>Violation Description</th>
<th>Amount of Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>No Parking Permit Displayed or Expired Permit</td>
<td>$40</td>
</tr>
<tr>
<td>02</td>
<td>Permit Improperly Displayed</td>
<td>$5</td>
</tr>
<tr>
<td>03</td>
<td>Parking Outside Authorized Permit Area</td>
<td>$30</td>
</tr>
<tr>
<td>04</td>
<td>Encroachment of Two Spaces</td>
<td>$20</td>
</tr>
<tr>
<td>05</td>
<td>Unauthorized Parking in any Reserved Space, Lot or Area</td>
<td>$40</td>
</tr>
<tr>
<td>06</td>
<td>Overtime Parking Loading Zone/Area</td>
<td>$10</td>
</tr>
<tr>
<td>07</td>
<td>Unauthorized parking in an UE, UV or SV space</td>
<td>$40</td>
</tr>
<tr>
<td>08</td>
<td>Failure To Pay in a payment required space</td>
<td>$30</td>
</tr>
<tr>
<td>09</td>
<td>Parking in a No Parking Area</td>
<td>$50 Plus repair costs</td>
</tr>
<tr>
<td>10</td>
<td>Parking in a fire lane</td>
<td>$50</td>
</tr>
</tbody>
</table>
5.3. A. Parking Violations

<table>
<thead>
<tr>
<th></th>
<th>Violation Description</th>
<th>Fine</th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Parking in an Accessibility Space, Blocking an Accessible Aisle, Path or Curb Cut</td>
<td>$250</td>
</tr>
<tr>
<td>12</td>
<td>Displaying an Unauthorized Permit, Altering a Parking Permit or Forging a Parking Permit</td>
<td>$100, plus loss of parking privileges**</td>
</tr>
<tr>
<td>14</td>
<td>Warning, with directive to correct*</td>
<td>No Fine</td>
</tr>
<tr>
<td>15</td>
<td>Warning, with directive to correct*</td>
<td>No Fine</td>
</tr>
<tr>
<td>16</td>
<td>Warning, with directive to correct*</td>
<td>No Fine</td>
</tr>
<tr>
<td>17</td>
<td>Warning, with directive to correct*</td>
<td>No Fine</td>
</tr>
<tr>
<td>18</td>
<td>Warning, with directive to correct*</td>
<td>No Fine</td>
</tr>
<tr>
<td>19</td>
<td>Warning, with directive to correct*</td>
<td>No Fine</td>
</tr>
</tbody>
</table>

Other

- Boot Removal Fee: 1st Boot $50 / Subsequent Boot $100
- On Campus Relocation: Contract Rate
- Towing Relocation Fee: Contract Rate
- Damages to Transportation Facilities: Amount of Repairs
- Visitor Voucher Fee/Pay Lot Invoice: $10

*Certain first-time parking violations may result in a warning citation being issued with no fine associated.

**Plus restitution for cost of permit.

5.2 Towing

5.2.1 The Director of Transportation is hereby authorized to have vehicles towed from the campus of the University to a designated place of storage for any vehicle in violation of the following:

- unauthorized parking in a space marked 24 HOUR TOWING
- a violation of section 4.4.4 “unauthorized parking in an accessibility space”
- parking in a no parking area or fire lane
- unauthorized parking at 1570 Main Campus Drive
- repeat offenders
- abandoned or stored vehicles
- unauthorized parking in a reserved space and/or lot
- a vehicle that has had an immobilization device placed on it, and remains unclaimed after 36 hours.
- Upon evidence of tampering with a boot or threatening to remove a boot.
- Unauthorized use of permit.

5.2.2 In addition to any fine assessed for a violation of this Ordinance, the owner of a vehicle which is towed from the University is responsible for payment directly to the towing contractor of any towing and/or storage fee charged for such towing.

5.2.3 Notice of North Carolina State Law Concerning Towed Vehicles

North Carolina State University provides an appeal procedure for the resolution of booting, towing and parking violations (see Section 6). North Carolina GS 20-119.11 provides the following:

Whenever a vehicle with a valid license plate or registration is towed as provided in G. S. 20-119.2, the authorizing person shall immediately notify the last known registered owner of the vehicle of the following:
5.3 A

a. description of the vehicle;
b. location of vehicle;
c. violation with which the owner is charged, if any;
d. procedure the owner must follow to have the vehicle returned to him; and
e. procedure the owner must follow to request a probable cause hearing on the towing.

The owner or any other person entitled to claim possession of the vehicle may request in writing a hearing to determine if probable cause existed for the towing. The request must be filed with the magistrate in the county where the vehicle was towed by the person entitled to claim possession.

The magistrate shall set the hearing within 72 hours of his receiving the request. The only issue at this hearing is whether or not probable cause existed for the towing. If the magistrate finds that probable cause did exist, the tower's lien continues. If the magistrate finds that probable cause did not exist, the tower's lien is extinguished. Any aggrieved party may appeal the magistrate's decision to district court.

5.3 Vehicle Immobilization

5.3.1 Any vehicle parked in violation of this Ordinance or any parking regulation issued hereunder may be immobilized by use of a wheel boot.

5.3.2 Wheel boots may be removed only by Transportation staff, upon payment of the boot removal fee and all outstanding fines.

5.3.3 Vehicles immobilized for longer than thirty-six hours shall be towed from the University to a designated storage facility. The owner or custodian of the vehicle shall be responsible for both the boot removal and towing fees, applicable storage fees, and accumulated fines. A vehicle shall not be released until restitution arrangements are complete.

5.3.4 Vehicles are released from towing and immobilization during normal office hours, 7 a.m. - 5 p.m., Monday through Friday.

5.4 Suspension of Parking Privileges

5.4.1 The Director of Transportation can, in addition to any other penalty, suspend the parking privileges of any individual found to be in violation of the following:

a. unauthorized use of a permit
b. counterfeiting or altering of permits
c. presenting false information
d. repeat offenders
e. failure to settle outstanding fines and fees
f. destruction or damage to University property

Chronic offenders are subject to escalating punitive enforcement measures that include, but are not limited to, booting of the vehicle on each subsequent violation, increasing boot removal fees, towing of
5.3. A vehicle on each subsequent violation, revocation of parking privileges and/or (as applicable) referral to the Office of Student Conduct.

5.5 Payment of Fines, Fees and Charges

5.5.1 Payments due to Transportation may be made in the following manners:

a. Cash (not mailed), valid one-party checks, payroll deduction (employees only), debit, credit cards or All Campus Card. Coins will not be accepted as a primary source of payment.

b. Service Unit Billings - State funds may not be used for payment of parking violations or permits for employees' personal vehicles.

c. University Cashier - The University Cashier shall accept payments for delinquent student parking violations that have been forwarded to the University Cashier's Office from Transportation.

5.6 Failure to Settle Fines, Fees and Charges

5.6.1 Failure to settle outstanding transportation fines, fees, and/or charges within the required time frame can result in the University's arranging for the collection of fees assessed against faculty, staff, students, and visitors in the following manner:

a. Penalties owed by employees of the University may be deducted from payroll checks.

b. Penalties owed by students shall be forwarded to the University Cashier for collection in the same manner that other debts owed to the University by students are collected.

c. Individuals whose fines are not collected through payroll deduction or by the University Cashier's Office shall be forwarded to a collection agency, the Attorney General's Office, or the Department of Revenue for collection.

Payments are expected for the following:

a. permits
b. Visitor voucher fees, pay lot, invoices
c. parking violations
d. replacement of returned check
e. returned check charges
f. gate cards and remote-controlled gate openers
g. repairs to damaged property
h. boot removal fees and towing
i. imposed fines

5.6.2 Parking permits may not be purchased or issued if unpaid fines or fees exist that are associated to the purchaser or the vehicle being registered.
5.7 Appeals

5.7.1 Individuals issued parking violations and other violation fines, restitution and/or suspension of parking privileges may appeal the penalty within fourteen calendar days of the date of the citation or letter imposing punishment. There are no provisions under these Ordinances for appeal of a Visitor Voucher Fee/Pay Lot Invoice as it is not a violation, but a user fee for parking in a visitor parking area.

a. Appeals must be filed online at the Transportation office or through the Transportation website.
b. All information requested on the appeal form must be provided to constitute a valid appeal.
c. Only those appeals received during the fourteen-calendar day deadline shall be reviewed.
d. Late or incomplete appeals shall not be reviewed and do not require a response.
e. Appellants shall be notified by mail and/or e-mail of the decision to grant or deny their request.

5.7.2 Appeal Rulings:

a. If the appeal is granted, no further action is necessary.
b. If the appeal is denied, the appellant may, in some cases, submit a Request for an Appeal Board Hearing.
   1. Fine amounts must be paid prior to a Board Hearing request being accepted.
   2. Board Hearing requests must be received within 14 days of the appeal decision.
   3. All information on the appeal form must be provided to constitute a valid Board Hearing Request.
c. Only appeals that meet the requirements of 5.7.2.b. will be reviewed.
d. Board Hearing Requests are not accepted for the following violations based on the defined circumstances:
   1. Overtime Parking in a Loading Zone/Area
   2. On the third and subsequent violation of the same infraction received within a one year period
   3. Parking in a Fire Lane-Unless documentation of a life threatening emergency is provided

5.7.3 Accepted Board Hearing Requests shall be presented before an Appeals Hearing Board. The individual shall be notified in writing of the hearing date, time and location. Attendance at the hearing is not required. Each individual is permitted one continuance of the hearing if they are unable to attend. A continuance must be requested at least 48 hours prior to the scheduled date. Individuals must be on time for their hearing; cases shall not be rescheduled.

-Appellants are required to notify Appeals Officer on whether or not they shall attend the hearing. Failure to do so shall result in nullification of the Hearing Request and the fine reverts to the original amount.

The decision reached by the Hearing Board is final. There are no further procedures available with the University to have the appeal reviewed. If the appeal is denied, collection procedures will be initiated and payment must be made within 14 calendar days of the notice of denial.

5.7.4 The Appeals Hearing Board shall hear and make decisions for all eligible Board Hearing Requests.

Judgment of a Board is based on:
5.3. A

a. Information provided by the appellant.
b. Any information provided by Transportation or Campus Police to include previous violations records.
c. This Ordinance.
e. Information contained in the parking violation notice.
f. The issuing officer’s testimony.

5.7.5 Appeals Hearing Board Membership

Student members are recommended by the Student Government. Faculty members are recommended by the Faculty Senate. Staff members are recommended by the Staff Senate.

5.7.6 Appeals Hearing Board Structure and Process at Hearings

Each appeal shall be heard and a decision reached by a group of the appellant's peers.

a. A member of the University Legal Counsel may be used as a consultant to answer legal concerns posed by the Appeals Hearings Board.
b. A representative of Transportation may attend each hearing to clarify any operational questions that may arise.
c. Appeals Hearings Board shall meet monthly, as the academic schedule allows. When additional hearings are necessary to process appeals, the Hearing Officer shall determine and schedule appropriate date and time.

5.7.7 Outside Legal Counsel

Although active participation by legal counsel is not permitted, a third party observer may be allowed. This observer may not actively participate during the hearing process. The appellant must inform the Hearings Officer at least 48 hours prior to their hearing date if they wish to have an observer present and the name of that individual.

6.0 TRAFFIC REGULATIONS

6.1 The Director of Transportation is responsible for establishing and posting all traffic control signs and devices on campus for the purpose of regulating vehicular operations and speeds for University streets, roads, parking lots, parking structures, or anywhere vehicles may travel. These signs/devices may regulate vehicle direction, vehicle stopping or yielding, fire lanes, no parking areas, pedestrian crossings or any other regulatory needs to direct or control the flow of vehicles.

6.2 Speed Limits

6.2.1 Pursuant to the provisions of North Carolina General Statute 116-44.4, 25 miles per hour is the maximum allowable speed on the campus of the University, unless otherwise posted.
6.2.2 Speed limits shall be enforced campus-wide by NC State University Campus Police for the maximum speed posted along each street, road, alley and driveway, and within each parking lot or parking deck.

6.3 Directional Signs

6.3.1 No vehicle shall be driven or operated to go in a direction opposite to that indicated by signs or markings placed, posted or installed to indicate one-way streets or "Do Not Enter" areas. All one-way streets are marked by "ONE WAY" and/or "DO NOT ENTER" signs.

6.4 Instructional Signs

6.4.1 No vehicle shall be driven or operated to go in any manner opposite to that indicated by traffic signs or markings that direct traffic in a specific manner or way.

6.5 Stop Signs

6.5.1 When stop signs are posted, placed or installed, or when clearly marked stop bars are painted upon any streets or roadways intersecting any other streets or roadways, the operator of a vehicle shall stop in obedience thereto and yield the right of way to vehicles operating on designated main traveled or through streets.

6.6 Yield Signs

6.6.1 When yield signs are posted, placed or installed, upon any streets or roadways, the operator of a vehicle shall yield at every such sign, except when directed otherwise by a law enforcement officer or by a traffic control signal or traffic control device.

6.7 Traffic Control Signals

6.7.1 Vehicles facing a red light from a steady or strobe beam traffic signal shall not enter the intersection while the steady or strobe beam traffic signal is emitting a red light, except where prohibited by an appropriate sign, vehicular traffic facing a red light, after coming to a complete stop at the intersection, may enter the intersection to make a right turn. Vehicles shall yield the right-of-way to pedestrians and to other traffic using the intersection. When the traffic signal is emitting a steady yellow light, vehicles facing the yellow light are warned that a red light shall be immediately forthcoming. When the traffic signal is emitting a steady green light, vehicles may proceed with due care through the intersection subject to the rights of pedestrians and other vehicles as may otherwise be provided by law.

6.7.2 When a flashing red light has been erected or installed at an intersection, approaching vehicles facing the red light shall stop and yield the right-of-way to vehicles in or approaching the intersection. The right to proceed shall be subject to the rules applicable to making a stop at a stop sign.
5.3. A

6.7.3 When a flashing yellow light has been erected or installed at an intersection, approaching vehicles facing the yellow flashing light may proceed through the intersection with caution, yielding the right-of-way to vehicles in or approaching the intersection.

6.7.4 When a stop sign, traffic signal, flashing light, or other traffic-control device requires a vehicle to stop at an intersection, the driver shall stop at an appropriately marked stop line or, if none, before entering a marked crosswalk or, if none, before entering the intersection at the point nearest the intersecting street where the driver has a view of approaching traffic on the intersecting street.

6.8 Penalty for Violation of this Article

6.8.1 The penalty for violation of any regulation prescribed in 6.0 shall be a criminal penalty payable to District Court consistent with General Statute 20.
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 February 18, 2016 meeting.

<table>
<thead>
<tr>
<th>Project</th>
<th>Construction Estimate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bragaw Residence Hall</td>
<td>$ 1,450,000</td>
</tr>
<tr>
<td>Project #201511011</td>
<td>Window Replacement</td>
</tr>
<tr>
<td>Designer: Rotman Architecture, PA</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Fund Source: Housing Trust Fund</td>
<td></td>
</tr>
<tr>
<td>DH Hill Library</td>
<td>$ 700,000</td>
</tr>
<tr>
<td>Project #201520011</td>
<td>Accessibility and Elevator Improvements</td>
</tr>
<tr>
<td>Designer: Kirwan Architecture PLLC</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Fund Source: Library F&amp;A Funds</td>
<td></td>
</tr>
<tr>
<td>Gardner Hall</td>
<td>$ 489,580</td>
</tr>
<tr>
<td>Project #201511067</td>
<td>Roof Replacement</td>
</tr>
<tr>
<td>Designer: REI Engineers</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Fund Source: COPS – State Debt</td>
<td></td>
</tr>
<tr>
<td>Phytotron</td>
<td>$ 484,000</td>
</tr>
<tr>
<td>Project #201511061</td>
<td>CFEP Phytotron PTL Renovations</td>
</tr>
<tr>
<td>Designer: Flad Architects</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Fund Source: Provost F&amp;A Funds</td>
<td></td>
</tr>
<tr>
<td>CVM Main Building</td>
<td>$ 440,200</td>
</tr>
<tr>
<td>Project #201511081</td>
<td>Main Dining</td>
</tr>
<tr>
<td>Designer: New City Design Group</td>
<td>Raleigh, NC</td>
</tr>
<tr>
<td>Fund Source: Dining Receipts</td>
<td></td>
</tr>
</tbody>
</table>
Approval of Plans and Specifications of Formal Projects
Less than $2,000,000

**Varsity Research Building**
Project #201511078
Labs 1112, 1114, and 1116 Modifications
Designer: Flad Architects
Raleigh, NC
Fund Source: F&A Funds

**Toxicology Building**
Project #201511088
Renovations for SeaGrant/WRRI
Designer: Andre Johnson
Raleigh, NC
Fund Source: F&A Funds

**DH Hill Library**
Project #201511063
Elevators 1 & 2 Modernizations
Designer: The Wooten Company
Raleigh, NC
Fund Source: COPS – State Debt

**Dan Allen Drive Parking Deck**
Project #201511124
Concrete and Coating Repairs
Designer: FDH
Raleigh, NC
Fund Source: Transportation Trust Funds

**Milestone 4-H Camp**
Project #201511047
Director House
Designer: ValueBuild
Sanford, NC
Fund Source: 4H Receipts/Gifts/Debt

**Phytotron**
Project #201511107
CFEP Renovations to 1002C & 2010
Designer: Flad Architects
Raleigh, NC
Fund Source: Provost Appropriated Funds
Approval of Plans and Specifications of Formal Projects
Less than $2,000,000

Arboretum Support Office Building $ 100,000
Project #201511069
Pedestrian Entrance
Designer: Al Prince & Associates, P.A.
Cary, NC
Fund Source: Arboretum Trust Funds
### Capital Projects at a Glance
#### as of February 29, 2016

<table>
<thead>
<tr>
<th>Code/Item</th>
<th>Project Name</th>
<th>Bid</th>
<th>Expected Acceptance</th>
<th>Total Project Budget</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>41424 317</td>
<td>Tucker Hall Renovation</td>
<td>Design</td>
<td>3/1/16</td>
<td>8/1/16</td>
<td>$1.4M</td>
</tr>
<tr>
<td>41224 319</td>
<td>Farmers Market Park &amp; Ride Lot</td>
<td>Design</td>
<td>3/23/16</td>
<td>7/25/16</td>
<td>$999K</td>
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<tr>
<td>41424 321</td>
<td>CVM 3B Lab</td>
<td>Design</td>
<td>6/2/16</td>
<td>3/7/17</td>
<td>$3M</td>
</tr>
<tr>
<td>41224 352</td>
<td>Centennial Campus Substation Expansion-Phase 2</td>
<td>Design</td>
<td>6/8/16</td>
<td>2/13/17</td>
<td>$2.9M</td>
</tr>
<tr>
<td>41524 307</td>
<td>Patterson Business Center Renovation</td>
<td>Design</td>
<td>7/22/16</td>
<td>4/11/17</td>
<td>$1.4M</td>
</tr>
<tr>
<td>41524 303</td>
<td>DH Hill Accessibility &amp; Elevator Improvements</td>
<td>Design</td>
<td>7/22/16</td>
<td>1/20/17</td>
<td>$700K</td>
</tr>
<tr>
<td>41324 353</td>
<td>MRC Cleanroom Renovations</td>
<td>Design</td>
<td>9/9/16</td>
<td>2/27/18</td>
<td>$1.75M</td>
</tr>
<tr>
<td>41524 307</td>
<td>Varsity Research Renovations - Phase 1</td>
<td>Design</td>
<td>1/9/17</td>
<td>9/18/17</td>
<td>$2.9M</td>
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<tr>
<td>41224 370</td>
<td>Energy Performance Contracting #4, CCUP Cogen</td>
<td>Design</td>
<td>2/16/17</td>
<td>2/1/18</td>
<td>$17M</td>
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<tr>
<td>41524 301</td>
<td>Case Commons Residence Hall</td>
<td>Design</td>
<td>3/20/17</td>
<td>8/3/18</td>
<td>$15M</td>
</tr>
<tr>
<td>41524 313</td>
<td>Engineering Building Oval</td>
<td>Design</td>
<td>7/23/18</td>
<td>6/5/20</td>
<td>$137M</td>
</tr>
<tr>
<td>41424 305</td>
<td>Cox Hall Scale Up Classrooms</td>
<td>Construction</td>
<td>3/8/16</td>
<td>1.875M</td>
<td>70% Construction Complete</td>
</tr>
<tr>
<td>41324 302</td>
<td>Re-Use Water Line Extension</td>
<td>Construction</td>
<td>3/11/16</td>
<td>1.82M</td>
<td>95% Construction Complete</td>
</tr>
<tr>
<td>41424 302</td>
<td>Research III HVAC</td>
<td>Construction</td>
<td>3/25/16</td>
<td>500K</td>
<td>97% Construction Complete</td>
</tr>
<tr>
<td>41124 353</td>
<td>DH Hill Fire Alarm Upgrades</td>
<td>Construction</td>
<td>3/31/16</td>
<td>922K</td>
<td>90% Construction Complete</td>
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<tr>
<td>41424 304</td>
<td>Millstone 4-H History &amp; Learning Center</td>
<td>Construction</td>
<td>3/31/16</td>
<td>1.5M</td>
<td>65% Construction Complete</td>
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<tr>
<td>40824 304</td>
<td>Research II HVAC</td>
<td>Construction</td>
<td>4/15/16</td>
<td>79M</td>
<td>79% Construction Complete</td>
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<tr>
<td>41324 305</td>
<td>Biltmore 1st-Floor Labs</td>
<td>Construction</td>
<td>4/27/16</td>
<td>1.9M</td>
<td>94% Construction Complete</td>
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<tr>
<td>41424 314</td>
<td>CC Thermal Utilities &amp; Infrastructure (CTI, COT &amp; MRC)</td>
<td>Construction</td>
<td>5/2/16</td>
<td>650K</td>
<td>NTP issued 2/5/16</td>
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<tr>
<td>41324 301</td>
<td>Carmichael Gym Locker Rooms</td>
<td>Construction</td>
<td>5/20/16</td>
<td>7.6M</td>
<td>85% Construction Complete</td>
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<tr>
<td>41424 318</td>
<td>Bragaw Window Replacement</td>
<td>Award</td>
<td>7/29/16</td>
<td>1.65M</td>
<td>In Award</td>
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<tr>
<td>41324 318</td>
<td>Winston Hall HVAC</td>
<td>Award</td>
<td>8/12/16</td>
<td>1.0M</td>
<td>NTP Pending</td>
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<tr>
<td>41224 311</td>
<td>Reynolds Coliseum Renovation</td>
<td>Construction</td>
<td>8/15/16</td>
<td>35M</td>
<td>60% Construction Complete</td>
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<tr>
<td>41224 352</td>
<td>Centennial Campus Substation Expansion</td>
<td>Construction</td>
<td>8/16/16</td>
<td>3.56M</td>
<td>5% Construction Complete</td>
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<tr>
<td>40824 313</td>
<td>Gregg Museum</td>
<td>Construction</td>
<td>9/5/16</td>
<td>9.6M</td>
<td>38% Construction Complete</td>
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<tr>
<td>41424 306</td>
<td>Harrelton Hall Demolition</td>
<td>Award</td>
<td>10/16/16</td>
<td>3.5M</td>
<td>4% Construction Complete</td>
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<tr>
<td>41224 315</td>
<td>HB 1292 Utility Savings</td>
<td>Construction</td>
<td>12/31/16</td>
<td>1.1M</td>
<td>91% Construction Complete</td>
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<tr>
<td>41324 309</td>
<td>Greek Infrastructure Phase II</td>
<td>Award</td>
<td>1/31/17</td>
<td>6M</td>
<td>6% Construction Complete</td>
</tr>
<tr>
<td>41524 304</td>
<td>Lake Raleigh Bridge</td>
<td></td>
<td></td>
<td></td>
<td>$500K</td>
</tr>
</tbody>
</table>

**Total Budget**: $271,925,000.00
Tracts Owned by Endowment Fund

- 78.82 acres
Building Financing Models

- University Revenue Bonds
- State Appropriated Funds
- Private Development
- Fundraising
- Governmental
Recently Completed - Alliance Center

Scope: 145,000 s.f. office building with structured parking
Developer: SM Alliance, LLC
Budget: $37,000,000
Funding: Private Developer
Completion: June 2015
Currently Under Construction – Center For Technology and Innovation (CTI)

**Scope:** 104,828 s.f. Pilot Production Facility and Office Building

**Developer:** Keystone Development Corporation

**Designer:** Hager Smith Design

**Budget:** $30,000,000

**Funding:** Private Developer

**Status:** Grading activities are underway

**Construction Start:** October 2015  
**Completion:** Fall 2016
Currently Under Construction – Center For Technology and Innovation (CTI)
Center For Technology and Innovation (CTI)  
Current Status
Currently Under Construction – StateView Hotel and Conference Center

**Scope:** Conference Center with Hotel on south shore of Lake Raleigh

**Developer:** Noble Investments / Concord Eastridge, Inc.

**Designer:** Cooper Carry Architects

**Budget:** Approximately $28,000,000

**Funding:** Private Developer

**Construction Start:** October 2015  
**Completion:** June 2017
StateView Hotel & Conference Center
StateView Hotel & Conference Center
Current Status
Currently Under Construction
North Shore Phase II

Scope: The Shores at Centennial Campus
Developer: White Oak Properties
Designer: J Davis Architects
Budget: $2,000,000 (current phase)
Funding: Private Developer
Status: Work 45% complete
Construction Start: August 2015 Completion: 1st Phase – Fall 2016
North Shore Phase II
Current Status
Projects on the Horizon - CBC Flex Lab Building

Scope: 44,500 s.f. Flexible Laboratory Building
Developer: Capital Associates
Designer: Jenkins Peer
Budget: $10,300,000
Funding: Private Developer
Status: Ground Lease signed Jan 2016, permits, final design
Construction Start: Summer 2016 Completion: Summer 2017
Current Planning Initiative – Spring Hill District
Other Projects of Interest

Pullen Road Extension

- Includes bike lanes and multi-use path
- $3.5 million (50-25-25 split)
- Completion spring 2018
Questions?
### Status of Projects in Planning

**Trustees' Buildings and Property Committee**  
and Campus Design Review Panel

**Updated March 22, 2016**

<table>
<thead>
<tr>
<th>Submittal Number</th>
<th>Project Name</th>
<th>Scope</th>
<th>Firm Name</th>
<th>Date Selected</th>
<th>FIRM NAME</th>
<th>PHYSICAL ENVIRONMENT COMMITTEE</th>
<th>TRUSTEE'S BPC SITE SELECTION</th>
<th>CAMPUS DESIGN REVIEW PANEL</th>
<th>TRUSTEE'S BPC REVIEW</th>
<th>PLAN</th>
<th>Estimated Start</th>
<th>Estimated Completion</th>
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</thead>
<tbody>
<tr>
<td>141</td>
<td>E.S. King Roof Replacement</td>
<td>$1,000,000</td>
<td>Swanson + Stewart Architects, PA</td>
<td>12/17/15</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>3/30/16</td>
<td>NA</td>
<td></td>
<td>July, 2016</td>
<td>April, 2018</td>
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<tr>
<td>140</td>
<td>Cogeneration and Building Addition</td>
<td>$18,226,054</td>
<td>Addi and Plad</td>
<td>4/19/2013</td>
<td>NA</td>
<td>NA</td>
<td>NA</td>
<td>2/24/2016</td>
<td>2/24/2016</td>
<td>2/16/2017</td>
<td>2/8/2018</td>
<td></td>
</tr>
</tbody>
</table>

**Upcoming Projects**

- **Case Common Residential Hall**  
  $15,000,000  
  Little Diversified Architectural Consulting  
  10/6/15  
  April, 2016  
  March, 2016  
  Sept., 2016  
  4/18/17  
  8/3/18

- **Engineering Building Oval**  
  $164,000,000  
  Clark Nexsen  
  11/18/08  
  September, 2018  
  July, 2020

**Approved Projects**

- **007**  
  The Shores Residential Project - Phase I  
  $25,000,000  
  White Oak Properties  
  J Davis Architects  
  2/11/99  
  2/18/99  
  4/26/00  
  3/22/00  
  2/1/00  
  8/29/07  
  4/26/00  
  2/17/00  
  4/15/99  
  4/27/00  
  Fall, 2015  
  Fall, 2016

- **081**  
  Centennial Biomedical Campus Flex Building  
  $10,000,000  
  Capital Associates  
  Jenkins-Peer Architects  
  4/19/07  
  5/9/07  
  5/9/07  
  5/30/07  
  7/25/07  
  9/2/07  
  June, 2016  
  May, 2017

- **100**  
  Sheehy Dairy Retail Facility  
  $2,400,000  
  Cherry Huffman Architects  
  8/27/08  
  5/27/09  
  On Hold

- **106**  
  Yates Mill Multipurpose Building  
  $250,000  
  J.D. Craig, Architects  
  11/18/09  
  11/18/09  
  2/18/10  
  2/18/10  
  On Hold

- **113**  
  Dan Allen Gateway  
  $171,000  
  OBS Landscape Architects and Planners  
  12/16/10  
  N/A  
  N/A  
  3/3/11  
  3/23/2011  
  3/30/11  
  On Hold

- **123**  
  Gregg Museum of Art and Design  
  $7,500,000  
  Freelon & Associates  
  2/16/11  
  1/17/11  
  12/11/11  
  11/18/10  
  10/3/12  
  4/25/12  
  5/30/12  
  9/20/12  
  2/21/13  
  9/20/13  
  April, 2015  
  Sept, 2016

- **132**  
  Delta Gamma House  
  $3,500,000  
  Cline Design Associates  
  NA  
  NA  
  4/24/14  
  4/24/14  
  4/24/14  
  4/24/14  
  4/24/14  
  Fall, 2015  
  Fall, 2016

- **126**  
  Broughton Hall Addition & Renovation  
  $90,000,000  
  O'Brien Atkins  
  11/19/08  
  9/2012  
  9/2012  
  9/2012  
  On Hold

- **128**  
  Reynolds Coliseum Renovation  
  $35,000,000  
  Corley Redfield  
  3/29/13  
  NA  
  NA  
  9/19/13  
  9/19/13  
  2/26/14  
  2/26/14  
  4/24/14  
  March, 2015  
  August, 2016

- **135**  
  Textiles Innovation Center  
  TBD  
  Keystone Corporation  
  6/19/14  
  9/18/14  
  9/18/14  
  01/28/15  
  8/27/2014  
  1/28/15  
  2/19/15  
  2/19/15  
  June, 2015  
  November, 2016

- **137**  
  Sigma Phi Epsilon House  
  $3,000,000  
  Hager Smith  
  2012  
  9/10/15  
  9/10/15  
  7/29/2015  
  7/29/15  
  9/10/2015  
  Early, 2016

- **138**  
  Harmon Hall Demolition/Site Repair  
  $2,508,000  
  Kimley Horn  
  3/12/2015  
  NA  
  7/29/15  
  7/29/15  
  NA  

**Updated March 22, 2016**
CALL TO ORDER
Jimmy Clark, Chair of Committee

ROLL CALL
Jimmy Clark, Chair of Committee

READING OF STATE GOVERNMENT ETHICS ACT CONFLICT OF INTEREST STATEMENT
Jimmy Clark, Chair of Committee

1. CONSENT AGENDA
   A. Approval of February 18, 2016 Open Session Minutes*

2. INFORMATIONAL REPORTS
   A. University Advancement Update
      Brian Sischo, Vice Chancellor for University Advancement

   B. Corporate and Foundation Relations Overview
      Lorena McLaren, Executive Director for Corporate & Foundation Relations

3. COMMITTEE DISCUSSION
   A. Career Development Center Naming Opportunities Update
      Dr. Mike Mullen, Vice Chancellor and Dean, Department of Academic and Student Support (DASA) and Nicole Peterson, Executive Director for Development, DASA
B. JC Raulston Arboretum Naming Addendum
   Brian Sisco, Vice Chancellor for University Advancement

C. Endowment Naming Levels Update
   Kushal Dasgupta, Associate Vice Chancellor for Advancement Services

D. Campaign Update
   Francine Cronin, Associate Vice Chancellor for University Development

4. CLOSED SESSION

   A. Approval of February 18, 2015 Closed Session Minutes *

   ✓ B. Request Approval for Naming Specific University Facilities and Programs

RECONVENE OPEN

SESSION ADJOURN

* Committee Approval
✓ Full Board Approval
Consent Agenda

Approval of February 18, 2016 Open Session Minutes*
University Advancement and External Relations Committee
Board of Trustees
North Carolina State University
February 18, 2016

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.

Members Present: Jimmy Clark, Chair
Ann Goodnight
Ben Jenkins
Stan Kelly
Wendell Murphy
Randy Ramsey

Others Present: Brad Bohlander, Associate Vice Chancellor, University Communications
Matt Checkowski, Simpson Scarborough (via web conference)
Francine Cronin, Associate Vice Chancellor, University Development
Kushal Dasgupta, Associate Vice Chancellor, Advancement Services
Lisa Dyer, Executive Assistant, University Advancement
Amy Ferlozzi, Director, Development Communications and Donor Relations
David Hinks, Dean, College of Textiles
Michael Lipitz, Senior Associate Director of Athletics
Bobby Purcell, Executive Director, The Wolfpack Club
Jason Simon, Simpson Scarborough (via web conference)
Brian Sisco, Vice Chancellor, University Advancement
Benny Suggs, Associate Vice Chancellor, Alumni Relations
Shawn Troxler, General Counsel
Christina Walker, Director of Principal Gifts
Randy Woodson, Chancellor
Debbie Yow, Director of Athletics

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

Chair Clark announced that due to technical difficulties, we would adjust the agenda and have AD Yow and Wolfpack Club ED Bobby Purcell to present ahead of the consultants from Simpson Scarborough, who were to join via web.

AD Yow asked ED Purcell to give the overview of the Wolftracks Program at Reynolds Coliseum. ED Purcell told the Committee that the program is a naming opportunity which was approved in a previous meeting. The fundraising program will offer 700 illuminated wall plaques, to be sold at $5000 each for a total of $1.25 million. ED Purcell noted that the $5000 can be paid over five years. AED Lipitz shared artist renderings and explained that the plaques will be made from state-of-the-art materials, with each one having space for up to 330 characters for personalization. ED Purcell told the Committee that August 1 is the delivery date for the plaques. Chair Clark thanked AD Yow, ED Purcell and AED Lipitz for the presentation.

Chair Clark confirmed that technical difficulties had been resolved and invited Jason Simon and Matt Checkowski with Simpson Scarborough to update the committee on their firm’s work on our campaign communications plan. They shared that NC State is overwhelmingly popular with alumni, and that of particular note is the fact that alumni tie the university’s positive progress to Chancellor Woodson. New buildings, especially the Hunt Library, were also a point of pride. Their research revealed that while the “Think and Do” brand is overwhelmingly popular with our alumni, it is not yet widely known. They also shared mock-ups of possible campaign themes, some which could be a tag on to “Think and Do”, and others which could stand alone. The themes presented were:
Agenda

- “Endless Ambition”
- “The Remarkable”
- “The Exceptional”

The first three would be “snap ons” to “Think and Do.” Stand-alone themes presented were:

- “Giving to Greatness”
- “Brick by Brick”

Jason Simon also suggested that “Think and Do” could be expanded into the campaign theme. Stan Kelly noted that 30 years from now, “Think and Do” will still work, as it encompasses what NC State is all about. Chair Clark agreed, adding that every alum can relate to “Think and Do” and it also points to all the entrepreneurs we’ve produced. In the ensuing discussion, Ann Goodnight stated that she prefers “Boundless Ambition”, and Ben Jenkins agreed, saying feeling that it is more inspirational, while Randy Ramsey shared that he likes the humility encompassed in “Brick by Brick.” Jason Simon advised the Committee that the process of vetting and developing the theme is still in progress, and their final recommendations will be completed in time for the April board meeting. Chair Clark thanked Jason and Matt and invited VC Brian Sischo to present the University Advancement update.

VC Sischo began by sharing the good news that as of December 31, 2015, the university’s endowment had reached the billion dollar mark. NC State is now in the top 100 of all universities in terms of size of endowment, and that we also have the 4th fastest growing endowment. He noted that we are realizing a 10% return, while the average return on $1 billion+ is 4%, which reinforces that going with the UNC investment group was the right move. He also noted that the Faculty-Staff Dependent fund, established by a gift from the Chancellor and Susan Woodson, is doing well.

VC Sischo then shared that Randy Ramsey and his wife, Tiffany, would be honored during this weekend’s basketball game against Clemson for their transformational gifts, benefitting both academics and athletics. He also mentioned that Irwin Holmes, NC State’s first African-American graduate, was being featured on the NC State homepage as a result of his talk to the football team under Coach Doeren’s “Real World Wednesday” program. VC Sischo went on to say that Homes and his wife, Meredythe, are trying to establish a transformational scholarship program between NC State and North Carolina Central University. VC Sischo next shared that Marcus Belvin began as President of the Alumni Association Board on January 1, and that in related news, the Alumni Association had recently won five CASE awards. Lastly, VC Sischo reminded the Committee that Founders Day is March 7, and that George Worsley and Barbara Mulkey would be honored as this year’s Watauga Medalists at the Founders Day Dinner. He informed the Committee that Barbara Goodmon, also selected to receive a Watauga Medal this year, asked if her award could be deferred until next year due to travel plans that could not be changed.

VC Sischo and AVC Cronin then shared a fundraising and campaign update, noting that while we are down from this time last year, it had to be noted that we received two major gifts in the first six months of FY15 that helped put us on pace for that record-setting year. AVC Cronin pointed out that if we continue on the same current trajectory, we will be at $1.375 billion at our campaign launch, which will take place on Friday, October 29. The launch will be the culmination of Homecoming week, Foundation Board meetings and academic symposia, among other activities and events that are designed to bring hundreds of alumni back to campus. She also shared an organization chart of the campaign volunteer structure and discussed planning that is well under way for a Campaign Volunteer Leadership Summit, to be held June 16 – 17. Chancellor Woodson asked how the volunteer system would work, and AVC Cronin responded that the volunteers would report back into a unit-based structure. AVC Cronin then concluded by citing the campaign total raised to date of $824 million. Chair Clark thanked VC Sischo and AVC Cronin for their updates and moved to go into closed session.

In closed session, the committee approved the February 12 closed session minutes and reviewed and approved one proposal to name a specific university program.
Chair Clark then asked for a motion to return to open session, asked if there were any additional business, and as there was none, the meeting adjourned at 2:30 pm.

Respectfully submitted,

Jimmy Clark
Chair
Informational Reports

University Advancement Update

Corporate & Foundation Relations Overview
# University Advancement - Institutional Reports

## Monthly Gift Receipts by Source

<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 '16 Totals</th>
<th>Year-to-date FY '15 Totals</th>
<th>YTD Period % Change FY15/16</th>
<th>Year End FY '15 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture and Life Science</td>
<td>$1,622,497</td>
<td>$147,197</td>
<td>$26,348</td>
<td>$2,351,707</td>
<td>$9,621,715</td>
<td>$4,650,448</td>
<td>$8,940,147</td>
<td>$23,490,089</td>
<td>$20,091,865</td>
<td>14%</td>
<td>$29,778,496</td>
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<tr>
<td>College of Design</td>
<td>$181,514</td>
<td>$12,980</td>
<td>$3,825</td>
<td>$24,531</td>
<td>$219,950</td>
<td>$195,111</td>
<td>$19,180</td>
<td>$657,073</td>
<td>$976,563</td>
<td>-33%</td>
<td>$1,188,343</td>
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<tr>
<td>College of Education</td>
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<td>$3,490</td>
<td>$5,259</td>
<td>$242,493</td>
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<td>2%</td>
<td>$1,943,404</td>
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<tr>
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<td>$7,711,136</td>
<td>-2%</td>
<td>$10,854,530</td>
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<tr>
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<td>$115,065</td>
<td>$21,542</td>
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<td>$14,376</td>
<td>$105,729</td>
<td>$6,019</td>
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<td>$2,682,788</td>
<td>-14%</td>
<td>$2,971,742</td>
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<td>Poole College of Management</td>
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<td>$727,857</td>
<td>$298,757</td>
<td>$66,717</td>
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<td>$2,286,030</td>
<td>30%</td>
<td>$3,182,846</td>
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<tr>
<td>College of Natural Resources</td>
<td>$360,040</td>
<td>$3,246</td>
<td>$10,400</td>
<td>$625,315</td>
<td>$273,436</td>
<td>$104,295</td>
<td>$63,493</td>
<td>$1,530,233</td>
<td>$1,981,538</td>
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<td>$2,512,164</td>
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<tr>
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<td>$25,365</td>
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<td>College of Textiles*</td>
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<td>$9,075</td>
<td>$355,977</td>
<td>$546,431</td>
<td>$100</td>
<td>$1,172,400</td>
<td>$3,337,408</td>
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<td>$3,819,967</td>
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<tr>
<td>College of Veterinary Medicine</td>
<td>$102,610</td>
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<td>$19,845</td>
<td>$774,382</td>
<td>$284,788</td>
<td>$7,131,115</td>
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<td>$8,861,713</td>
<td>$6,797,091</td>
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<td>$7,314,721</td>
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<tr>
<td>Alumni Association</td>
<td>$587,006</td>
<td>$3,275</td>
<td>$873</td>
<td>$170,149</td>
<td>$41,070</td>
<td>$51,424</td>
<td>$3,790</td>
<td>$857,802</td>
<td>$842,682</td>
<td>2%</td>
<td>$972,770</td>
</tr>
<tr>
<td>DASA</td>
<td>$223,933</td>
<td>$102,070</td>
<td>$22,593</td>
<td>$260,138</td>
<td>$110,509</td>
<td>$254,281</td>
<td>$11,300</td>
<td>$1,004,830</td>
<td>$1,477,301</td>
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<td>$3,263,974</td>
</tr>
<tr>
<td>Libraries</td>
<td>$120,802</td>
<td>$35,980</td>
<td>$166,289</td>
<td>$1,441,943</td>
<td>$127,945</td>
<td>$84,600</td>
<td>$8,600</td>
<td>$1,985,749</td>
<td>$1,337,444</td>
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<td>$2,780,674</td>
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<tr>
<td>University-wide</td>
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<td>$266,684</td>
<td>$61,785</td>
<td>$1,218,070</td>
<td>$1,958,899</td>
<td>$9,111,563</td>
<td>$136,081</td>
<td>$14,540,438</td>
<td>$19,255,900</td>
<td>-24%</td>
<td>$25,866,662</td>
</tr>
<tr>
<td>Wolfpack Club Athletics**</td>
<td>$14,359,076</td>
<td>$1,000</td>
<td>$21</td>
<td>$656</td>
<td>$152,529</td>
<td>$33,200</td>
<td>$1,550</td>
<td>$14,548,434</td>
<td>$13,875,008</td>
<td>5%</td>
<td>$20,063,272</td>
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<tr>
<td><strong>Total</strong></td>
<td>$24,287,291</td>
<td>$880,039</td>
<td>$890,599</td>
<td>$9,724,993</td>
<td>$18,801,087</td>
<td>$25,366,529</td>
<td>$6,193,755</td>
<td>$85,836,292</td>
<td>$96,851,958</td>
<td>-1%</td>
<td>$119,014,658</td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation
** Includes gift information provided by the NCSU Student Aid Association

Report Date: February 29, 2016

Reporting Period: July 1 - February 29, 2016

Data Refresh: Friday, March 4, 2016
| College of Agriculture and Life Sciences | College of Design | College of Education | College of Engineering | College of Humanities & Social Sciences | College of Natural Resources | College of Sciences | College of Textiles | College of Veterinary Medicine | Alumni Association | DASA | Libraries | University-wide | Wolfpack Club/Athletics** |
|------------------------------------------|------------------|---------------------|-----------------------|----------------------------------------|----------------------------|---------------------|-------------------|--------------------------|--------------------------|------|----------|--------------|----------------|--------------------------|
| $13,980,614                             | $424,467         | $434,230            | $5,797,519            | $2,236,063                             | $1,024,443                  | $1,182,020         | $1,083,267       | $7,663,823               | $848,209                 | $880,764 | $465,957  | $12,563,814 | $13,979,496 |
| $284,369                                | $10,000          | $0                  | $260,213              | $0                                      | $18,489                    | $895,600           | $0                | $23,988                  | $0                        | $5,869   | $1,518,117 | $1,388,316  | $416,809    |
| $26,094                                 | $1,400           | $2,350              | $82,400               | $33,366                                 | $19,863                    | $15,888            | $5,300           | $8,480                   | $3,920                    | $5,866   | $1,675    | $34,715      | $152,129    |
| $2,041,030                              | $0               | $0                  | $33,366               | $241,137                               | $96,508                    | $136,222           | $0               | $0                       | $0                        | $0       | $0        | $62,294      | $0          |
| $269,056                                | $0               | $0                  | $594,523              | $241,137                               | $248,997                   | $30,752            | $0               | $22,950                  | $0                        | $0       | $0        | $511,300     | $0          |
| $6,868,673                              | $0               | $0                  | $717,861              | $1,179,825                             | $140,336                   | $761,065           | $832,833        | $652,653                  | $5,473                    | $0       | $0        | $1,585,749   | $14,584,434 |
| $23,490,059                             | $221,206         | $717,861            | $1,748,963            | $7,594,483                             | $1,530,233                 | $824,527           | $1,172,400       | $8,561,713                 | $857,802                  | $1,004,830 | $1,985,749 | $19,285,908 | $14,584,434 |
| $20,695,956                             | $867,873         | $1,797,833          | $1,797,833            | $7,711,135                             | $1,981,538                 | $2,889,181         | $3,337,408       | $5,797,081                 | $842,682                  | $1,477,301 | $1,337,844 | $19,285,908 | $13,871,006 |
| **Year-to-date FY '15 Totals**          | **Year-to-date FY '15 Totals** | **Year-to-date FY '15 Totals** | **Year-to-date FY '15 Totals** | **Year-to-date FY '15 Totals** | **Year-to-date FY '15 Totals** | **Year-to-date FY '15 Totals** | **Year-to-date FY '15 Totals** | **Year-to-date FY '15 Totals** |
| *Includes gift information provided by the North Carolina Textiles Foundation* | *Includes gift information provided by the NCSU Student Aid Association* | *Includes gift information provided by the NCSU Student Aid Association* | *Includes gift information provided by the NCSU Student Aid Association* | *Includes gift information provided by the NCSU Student Aid Association* | *Includes gift information provided by the NCSU Student Aid Association* | *Includes gift information provided by the NCSU Student Aid Association* | *Includes gift information provided by the NCSU Student Aid Association* | *Includes gift information provided by the NCSU Student Aid Association* |

** Reporting Period: July 1 - February 29, 2016**
** Data Refresh: Friday, March 4, 2016**
### University Advancement - Institutional Reports
#### Monthly Gift Receipts by Use

**Report Date: February 29, 2016**

<table>
<thead>
<tr>
<th>College</th>
<th>Current Operations</th>
<th>Endowment</th>
<th>Facilities</th>
<th>Year-to-date FY '16 Totals</th>
<th>Year-to-date FY '15 Totals</th>
<th>YTD Period % Change FY15/16</th>
<th>Year End FY '15 Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture and Life Sciences</td>
<td>$18,984,135</td>
<td>$4,220,510</td>
<td>$285,414</td>
<td>$23,490,059</td>
<td>$20,695,986</td>
<td>-14%</td>
<td>$29,778,496</td>
</tr>
<tr>
<td>College of Design</td>
<td>$410,469</td>
<td>$236,603</td>
<td>$10,000</td>
<td>$657,073</td>
<td>$976,553</td>
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<td>$1,186,343</td>
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<tr>
<td>College of Education</td>
<td>$928,501</td>
<td>$840,382</td>
<td>$80</td>
<td>$1,748,963</td>
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<td>2%</td>
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<td><strong>$10,679,430</strong></td>
<td><strong>$85,836,292</strong></td>
<td><strong>$86,851,953</strong></td>
<td><strong>-1%</strong></td>
<td><strong>$119,014,688</strong></td>
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* Includes gift information provided by the North Carolina Textiles Foundation

** Includes gift information provided by the NCSU Student Aid Association

**Reporting Period: July 1 - February 29, 2016
**Data Refresh: March 4, 2016
<table>
<thead>
<tr>
<th>Department</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 15 Totals</th>
<th>Year-to-date FY 14 Totals</th>
<th>TTD Period % Change FY 15/14</th>
<th>Year End FY 15 Totals</th>
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<td>$1,000</td>
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<td>$136,694,278</td>
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</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textiles Foundation
** Includes gift information provided by the NCSU Student Aid Association
** Does not include $221,94 K in conditional pledges to Plant Sciences Initiative
# Agenda

## University Advancement - Institutional Reports

### Monthly Gifts and New Commitments by Type

<table>
<thead>
<tr>
<th>College, Program, or Unit</th>
<th>Cash Gifts</th>
<th>Gifts-in-Kind</th>
<th>Matching Gifts</th>
<th>PG Life Income</th>
<th>Realized Requests</th>
<th>Request Expectancies</th>
<th>Pledges</th>
<th>Non Governmental Grants</th>
<th>Year-to-date FY '16 Totals</th>
<th>Year-to-date FY '15 Totals</th>
<th>YTD Period % Change FY '16</th>
<th>Year End FY '16 Totals</th>
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<td><strong>$106,422,463</strong></td>
<td><strong>$130,094,278</strong></td>
<td><strong>-23%</strong></td>
<td><strong>$208,473,272</strong></td>
</tr>
</tbody>
</table>

* Includes gift information provided by the North Carolina Textile Foundation
** Includes gift information provided by the NCSU Student Aid Foundation
** Does not include $225.3 K in conditional pledges to Plant Sciences Initiative

Reporting Period: July 1 - February 29, 2016
Data Refresh: Friday, March 4, 2016
# University Advancement - Institutional Reports

## Monthly Gifts and New Commitments by Use

**Report Date:** February 29, 2016

<table>
<thead>
<tr>
<th>College of Agriculture and Life Sciences</th>
<th>Current Operations</th>
<th>Endowment</th>
<th>Facilities</th>
<th>Year-to-date FY '16 Totals</th>
<th>Year-to-date FY '15 Totals</th>
<th>YTD Period % Change FY15/FY16</th>
<th>Year End FY '15 Totals</th>
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</thead>
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<td></td>
<td>$16,482,832</td>
<td>$2,523,547</td>
<td>$285,414</td>
<td>$19,291,693**</td>
<td>$43,518,590</td>
<td>-56%</td>
<td>$57,263,208</td>
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</table>

| College of Design                        | $451,839          | $277,853  | $10,000   | $739,693                    | $824,098                   | -10%                         | $2,060,687             |

| College of Education                     | $1,156,883        | $1,039,859| $80       | $2,196,833                  | $2,654,063                 | -17%                         | $1,811,131              |

| College of Engineering                   | $19,974,698       | $4,894,718| $260,213  | $25,129,830                 | $10,114,591                | 148%                         | $21,741,828            |

| College of Humanities & Social Sciences  | $671,884          | $4,102,925| $0        | $4,774,809                  | $8,055,036                 | -47%                         | $9,353,847              |

| Poole College of Management              | $1,169,623        | $780,015  | $392      | $1,900,030                  | $2,689,796                 | -32%                         | $5,708,217             |

| College of Natural Resources             | $971,896          | $774,610  | $0        | $1,746,506                  | $1,811,013                 | -4%                          | $2,688,374             |

| College of Sciences                      | $1,563,196        | $1,224,330| $1,499,600| $4,287,326                  | $4,553,847                 | -6%                          | $6,990,751              |

| College of Textiles*                     | $853,781          | $248,676  | $5,000    | $905,456                    | $3,175,785                 | -71%                         | $3,812,168             |

| College of Veterinary Medicine           | $2,242,475        | $8,703,828| $23,398   | $10,970,301                 | $21,832,957                | -60%                         | $33,023,890            |

| Alumni Association                       | $114,736          | $287,841  | $150      | $382,827                    | $694,925                   | -46%                         | $816,246               |

| DASA                                      | $697,762          | $548,760  | $196,618  | $1,444,139                  | $1,836,306                 | -21%                         | $3,341,831             |

| Libraries                                 | $242,343          | $176,485  | $1,518,117| $1,936,965                  | $2,033,227                 | -5%                          | $2,521,372             |

| University-wide                          | $6,086,455        | $3,050,524| $1,565,109| $12,705,088                 | $14,709,491                | -14%                         | $25,140,288            |

| Wolfpack Club/Athletics**                 | $8,465,068        | $874,269  | $6,622,240| $17,961,576                 | $19,110,553                | -8%                          | $32,199,454            |

**Total**                                  | **$62,948,280**   | **$29,487,249** | **$13,986,932** | **$106,422,463** | **$138,894,278** | **-23%** | **$208,473,272** |

* Includes gift information provided by the North Carolina Textiles Foundation

** Includes gift information provided by the NCSU Student Aid Association

**+** Does not include $221.3 in conditional pledges to Plant Sciences Initiative

**Reporting Period:** July 1 - February 31, 2016

**Data Refresh:** Friday, March 4, 2016
## Overall Performance Year-to-Date

<table>
<thead>
<tr>
<th></th>
<th>Total Dollars</th>
<th>Total Donors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY16</td>
<td>FY15</td>
</tr>
<tr>
<td>Total Dollars</td>
<td>$2,108,814</td>
<td>$1,972,655</td>
</tr>
</tbody>
</table>

## Alumni Dollars With Matching

<table>
<thead>
<tr>
<th></th>
<th>FY16</th>
<th>FY15</th>
<th>Chng</th>
<th>% Chng</th>
<th>FY16</th>
<th>FY15</th>
<th>Chng</th>
<th>% Chng</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1,649,517</td>
<td>$1,549,904</td>
<td>$99,613</td>
<td>6.43%</td>
<td></td>
<td>8,091</td>
<td>8,805</td>
<td>(714)</td>
<td>(8.11%)</td>
</tr>
</tbody>
</table>

## $1,000+ Household Donors (Primary donors only, no matching gifts)

<table>
<thead>
<tr>
<th></th>
<th>Total Dollars</th>
<th>Total Donors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY16</td>
<td>FY15</td>
</tr>
<tr>
<td>Total Dollars</td>
<td>$878,338</td>
<td>$710,488</td>
</tr>
</tbody>
</table>

## Alumni Dollars without Matching

<table>
<thead>
<tr>
<th></th>
<th>FY16</th>
<th>FY15</th>
<th>Chng</th>
<th>% Chng</th>
<th>FY16</th>
<th>FY15</th>
<th>Chng</th>
<th>% Chng</th>
</tr>
</thead>
<tbody>
<tr>
<td>$620,483</td>
<td>$494,328</td>
<td>$126,155</td>
<td>25.52%</td>
<td></td>
<td>364</td>
<td>284</td>
<td>70</td>
<td>23.61%</td>
</tr>
</tbody>
</table>

## Progress to Goals

<table>
<thead>
<tr>
<th></th>
<th>FY15 Actuals</th>
<th>FY16 Goals</th>
<th>Need to Meet Goals</th>
<th>FY15 % of Goal</th>
<th>FY15 Rest Date to 6/30/2015</th>
<th>Projected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Dollars</td>
<td>(FY15: $2,716,721)*</td>
<td>$2,800,000</td>
<td>$781,186</td>
<td>72.72%</td>
<td>$744,066</td>
<td>$2,852,880</td>
</tr>
<tr>
<td>Total Donors</td>
<td>(FY15: 13,983)*</td>
<td>14,500</td>
<td>4,875</td>
<td>66.38%</td>
<td>3,603</td>
<td>13,226</td>
</tr>
</tbody>
</table>

* From FY15 Final Reports

## Average Gift

<table>
<thead>
<tr>
<th></th>
<th>Average</th>
<th>FY16</th>
<th>FY15</th>
<th>Change</th>
<th>% Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>By Gift</td>
<td>$166</td>
<td>$150</td>
<td>$19</td>
<td>12.47%</td>
<td></td>
</tr>
<tr>
<td>By Donor</td>
<td>$212</td>
<td>$180</td>
<td>$31</td>
<td>17.39%</td>
<td></td>
</tr>
</tbody>
</table>

## Corporate Matching Gifts

<table>
<thead>
<tr>
<th></th>
<th>Corporate Match Dollars</th>
<th>Number Corporate Match Gifts</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY16</td>
<td>FY15</td>
</tr>
<tr>
<td>$99,510</td>
<td>$99,335</td>
<td>($29,725)</td>
</tr>
</tbody>
</table>

Data Source: Advancement Service Report 28 -AG Progress and Comparison
Reporting period: July 1, 2015 -February 28, 2016
Data Refresh: Thursday, March 3 2016
### University Advancement - Annual Giving

#### Summary by College / Fund

**Report Date:** February 28, 2016

<table>
<thead>
<tr>
<th>Academic Unit Detail - Mailable Alumni</th>
<th>Gift Dollars No Match</th>
<th>Donors No Match*</th>
<th>Average Gift**</th>
<th>Corporate Matching</th>
<th>Total Gifts and Matching</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>FY16</td>
<td>FY15</td>
<td>Chng</td>
<td>% Chng</td>
<td>FY16</td>
</tr>
<tr>
<td>CALS - 28,117</td>
<td>$230,021</td>
<td>$198,482</td>
<td>$31,538</td>
<td>15.99%</td>
<td>1,160</td>
</tr>
<tr>
<td>CHASS - 35,111</td>
<td>$103,004</td>
<td>$103,321</td>
<td>($317)</td>
<td>(0.31%)</td>
<td>828</td>
</tr>
<tr>
<td>Design - 6,477</td>
<td>$54,327</td>
<td>$48,610</td>
<td>$5,717</td>
<td>11.76%</td>
<td>267</td>
</tr>
<tr>
<td>Education - 14,309</td>
<td>$107,985</td>
<td>$81,260</td>
<td>$26,725</td>
<td>32.88%</td>
<td>512</td>
</tr>
<tr>
<td>Engineering - 56,074</td>
<td>$479,978</td>
<td>$479,859</td>
<td>$119</td>
<td>0.21%</td>
<td>2,658</td>
</tr>
<tr>
<td>PCCOM - 24,538</td>
<td>$142,681</td>
<td>$117,709</td>
<td>$24,972</td>
<td>21.21%</td>
<td>762</td>
</tr>
<tr>
<td>Natural Resources - 10,165</td>
<td>$71,480</td>
<td>$63,578</td>
<td>$7,902</td>
<td>12.40%</td>
<td>340</td>
</tr>
<tr>
<td>College of Sciences - 24,268</td>
<td>$121,697</td>
<td>$121,843</td>
<td>$254</td>
<td>0.21%</td>
<td>594</td>
</tr>
<tr>
<td>Textiles - 8,817</td>
<td>$60,828</td>
<td>$43,831</td>
<td>$16,996</td>
<td>38.78%</td>
<td>375</td>
</tr>
<tr>
<td>Vet Med - 2,480</td>
<td>$40,488</td>
<td>$32,191</td>
<td>$8,295</td>
<td>25.77%</td>
<td>138</td>
</tr>
<tr>
<td>Arts NC State</td>
<td>$28,616</td>
<td>$23,417</td>
<td>$5,209</td>
<td>23.06%</td>
<td>139</td>
</tr>
<tr>
<td>First Year College</td>
<td>$5,313</td>
<td>$8,607</td>
<td>($3,294)</td>
<td>38.27%</td>
<td>17</td>
</tr>
<tr>
<td>Graduate School</td>
<td>$10,310</td>
<td>$4,650</td>
<td>$5,660</td>
<td>121.72%</td>
<td>45</td>
</tr>
<tr>
<td>Library Enhancement</td>
<td>$35,481</td>
<td>$32,000</td>
<td>$3,481</td>
<td>10.88%</td>
<td>127</td>
</tr>
<tr>
<td>Parents Fund</td>
<td>$49,141</td>
<td>$53,071</td>
<td>($3,929)</td>
<td>(7.40%)</td>
<td>490</td>
</tr>
<tr>
<td>Student Financial Aid Fund</td>
<td>$41,091</td>
<td>$51,849</td>
<td>($10,757)</td>
<td>(20.44%)</td>
<td>277</td>
</tr>
<tr>
<td>University’s Greatest Needs Fund</td>
<td>$229,333</td>
<td>$173,225</td>
<td>$56,108</td>
<td>32.42%</td>
<td>1,604</td>
</tr>
<tr>
<td>Other University Funds</td>
<td>$227,011</td>
<td>$236,227</td>
<td>($9,215)</td>
<td>(3.90%)</td>
<td>646</td>
</tr>
</tbody>
</table>

**Total Dollars and Donors deduped**

$2,039,204 | $1,673,320 | $166,883 | 8.86% | 9,625 | 10,380 | (765) | (7.27%) | $212 | $189 | $89,610 | $98,335 | $2,108,814 | $1,972,656

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* FY16 and FY15 Donor No Match TOTAL adjusted for donors who gave to multiple designations. For example, if a donor gave to CALS and CHASS they are counted in each of these lines; however in the TOTAL line that donor is only counted once.

** Average Gift for academic units is calculated by gifts, including payroll deduction and ETF, not donors. The TOTAL line calculation for average gift is based on deduped donors.

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Data Source: Advancement Service Report 28 - AG Progress and Comparison
Reporting period: July 1, 2015 - February 29, 2016
Data Refresh: Thursday, March 3 2016
Page 2
CORPORATE & FOUNDATION RELATIONS

The Corporate & Foundation Relations (CFR) team is developing meaningful, strategic, comprehensive partnerships with corporations and foundations in support of NC State University priorities.

We will accomplish these partnerships by....

- Developing a comprehensive strategy for each organization that reflects university-wide interests, represents multiple university stakeholders, and aligns with company priorities.
- Developing peer relationships between University leadership and executives from the organization to drive strategic relationship development with our top partners.
- Building greater awareness of the depth of the organization’s current engagement at NC State.
- Recommending new opportunities for engagement to enable expanded partnerships as appropriate.
- Seeking funding opportunities from corporations and foundations for the University’s highest priorities.
- Centralizing ongoing partnership management to better serve our most valuable CFR donors.

Lorena McLaren joined NC State as Executive Director of Corporate & Foundation Relations in November 2015, filling a three-year vacancy in this role. Her previous experiences in the field include roles at Carnegie Mellon University in Pittsburgh and the University of Washington in Seattle.

Lorena McLaren
lmclaren@ncsu.edu
(919) 513-7507
### NC State Career Development Center - Naming Opportunities

<table>
<thead>
<tr>
<th>Naming Opportunity</th>
<th>Description</th>
<th>Square Feet</th>
<th>Donation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interview Rooms</td>
<td>18 individual spaces used by visiting employers to interview NC State students for internships, co-op, and full time positions; also used by staff and employer partners to prepare students for interviews</td>
<td>56-80</td>
<td>$25,000</td>
</tr>
<tr>
<td>Dynamic Flex Stations</td>
<td>Multi-use open work space utilized by students, staff, and Career Development Center partners for collaborative projects</td>
<td>168</td>
<td>$50,000</td>
</tr>
<tr>
<td>Wolfpack Styled Professional Clothing Closet</td>
<td>Clothing closet offering NC State students free donated professional attire for career fairs, internships, interviews, and other career related activities.</td>
<td>112</td>
<td>$50,000</td>
</tr>
<tr>
<td>Student Services Wing</td>
<td>Six offices staffed by full time career center professionals providing individualized career counseling/coaching, career exploration, job search strategies, resume review, and other student focused services</td>
<td>755</td>
<td>$75,000</td>
</tr>
<tr>
<td>On Campus Recruitment Lobby</td>
<td>Reception and waiting area for students interviewing with employers in the Career Development Center</td>
<td>170</td>
<td>$75,000</td>
</tr>
<tr>
<td>Employer Relations Suite</td>
<td>Debriefing and meeting space provided for employers visiting the Career Development Center; Complimentary refreshment station, administrative work area, and check in point for employers; location of Career Development Center Employer Relations team offices</td>
<td>800</td>
<td>$100,000</td>
</tr>
<tr>
<td>Career Development Center Reception</td>
<td>Staffed front desk and check in station for students, employers, and guests; This area also serves as a lobby for students with scheduled appointments, questions, and students attending drop in counseling sessions</td>
<td>275</td>
<td>$125,000</td>
</tr>
<tr>
<td>Career Development Center Program*</td>
<td>The Career Development Center provides resources, programs, and services that facilitate career development and job placement among NC State University students. The complexity of this objective requires the CDC to support a diverse set of staff professionals, career development tools, and initiatives. A recent Wall Street Journal survey of corporate recruiters ranked NC State 19th nationally among the best places to find job candidates.</td>
<td>n/a</td>
<td>$6,000,000</td>
</tr>
</tbody>
</table>

**Use of Funds:** Funds will support the Career Development Center's greatest needs, including professional staff development; expanding domestic and international experiential learning opportunities; facilitating student self-assessments; increasing and improving Career Fairs; development and implementation of new initiatives; improvements to CDC physical space.

The $6M program naming will create an endowment supporting the Center's greatest needs in perpetuity.

**Time period:** All naming opportunities, other than the program naming*, are based on a five-year term, which may be renewable.
North Carolina State University

Naming Opportunities for the JC Raulston Arboretum

Naming Scheme Narrative

The attached list is in addendum to the previous naming opportunities at the JC Raulston Arboretum previously submitted and approved in 2013. As the campaign moves through the quiet phase, we seek to confirm approval for the currently identified areas. This addendum outlines naming opportunities related to the installation of the pedestrian entrance and gate at the JC Raulston Arboretum.

Facilities Description:
The mission of the JC Raulston Arboretum at NC State University, is to introduce, display, and promote plants that diversify the American landscape, thereby benefiting our communities economically, environmentally, and aesthetically, as well as provide educational experiences to the general public, students of all ages, and the green industry.

The project will modernize the current entrance and raise awareness of the location of the Arboretum. It will also improve the flow of pedestrian visitors as they enter the Arboretum.

An official NC State University Facility Naming Agreement will be executed for each of these areas and submitted for Trustee approval as donors are identified.

Richard Linton, Dean CALS

Date

Vice Chancellor for University Advancement

Date

Vice Chancellor for Finance and Business Administration

Date
### 2016 Naming Opportunities – JC Raulston Arboretum

<table>
<thead>
<tr>
<th>Name</th>
<th>Donation Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pedestrian Entrance</td>
<td>$250,000</td>
</tr>
<tr>
<td>Columns, repeat border entrance, extension of pedestrian entrance</td>
<td>$50,000-$25,000</td>
</tr>
<tr>
<td>Brick Inlay in the Pedestrian Entrance</td>
<td>$25,000</td>
</tr>
</tbody>
</table>

**NOTE:** The following areas were approved by the Trustees under the Arboretum’s Master Plan naming scheme in 2013:

<table>
<thead>
<tr>
<th>Name</th>
<th>Donation Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asian Valley (whole area)</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Ellipse</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>English Wall</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>Lath House</td>
<td>$500,000</td>
</tr>
<tr>
<td>Japanese Garden</td>
<td>$500,000</td>
</tr>
<tr>
<td>Pedestrian Entrance</td>
<td>$250,000</td>
</tr>
<tr>
<td>Geophyte Border</td>
<td>$250,000</td>
</tr>
<tr>
<td>The Mixed Border</td>
<td>$250,000</td>
</tr>
<tr>
<td>Pavilion</td>
<td>$250,000</td>
</tr>
<tr>
<td>The Scree Garden</td>
<td>$250,000</td>
</tr>
<tr>
<td>The Fantasy Welcome Garden</td>
<td>$200,000</td>
</tr>
<tr>
<td>The Elm Circle Garden</td>
<td>$200,000</td>
</tr>
<tr>
<td>Edible Garden</td>
<td>$200,000</td>
</tr>
<tr>
<td>The Xeric Garden</td>
<td>$100,000</td>
</tr>
<tr>
<td>The Long Walk (Main Path)</td>
<td>$100,000</td>
</tr>
<tr>
<td>Turf Alternatives display</td>
<td>$100,000</td>
</tr>
<tr>
<td>Theme Gardens (4 @ $100,000 each)</td>
<td>$400,000</td>
</tr>
<tr>
<td>Hanging basket display (part of the annual trials area)</td>
<td>$100,000</td>
</tr>
<tr>
<td>10 Pocket Gardens – to be named individually @ $50,000 each</td>
<td>$500,000</td>
</tr>
<tr>
<td>(various established gardens – approximately 750–1200 square feet)</td>
<td></td>
</tr>
<tr>
<td>The Necessary</td>
<td>$50,000</td>
</tr>
</tbody>
</table>

**NOTE:** The following areas were approved by the Trustees under the Arboretum’s Raise the Roof Campaign naming scheme in 1995-2001:

<table>
<thead>
<tr>
<th>Name</th>
<th>Donation Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perennial Border</td>
<td>$500,000</td>
</tr>
<tr>
<td>Horticulture Field Lab Shop &amp; Offices</td>
<td>$300,000</td>
</tr>
<tr>
<td>JCRA Staff Building</td>
<td>$250,000</td>
</tr>
<tr>
<td>Front Parking Lot Garden</td>
<td>$100,000</td>
</tr>
<tr>
<td>Entrance Sweep Garden</td>
<td>$100,000</td>
</tr>
<tr>
<td>McSwain Kitchen</td>
<td>$50,000</td>
</tr>
</tbody>
</table>
Overview of NC State Endowment

Current endowment levels: https://giving.ncsu.edu/your-gift/endowments/

Discussion topics:

- Summary of Current Endowment by
  - Total Endowment
  - Faculty Support
  - Student Support
- Update on endowment growth in nucleus phase of campaign
- Comparison of endowment levels with peer institutions
- Discussion on endowment levels for the public launch of the campaign

Kushal Dasgupta
Associate Vice Chancellor, Advancement Services
(919) 515-9079
<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>Campaign Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Agriculture and Life Sciences</td>
<td>$25,622,913</td>
<td>$13,563,396</td>
<td>$3,000,516</td>
<td>$23,202,672</td>
<td>$54,573,041</td>
<td>$23,027,868</td>
<td>$28,123,858</td>
<td>$171,114,265**</td>
</tr>
<tr>
<td>College of Design</td>
<td>$2,190,368</td>
<td>$20,048</td>
<td>$79,566</td>
<td>$415,066</td>
<td>$1,448,037</td>
<td>$1,323,110</td>
<td>$448,022</td>
<td>$5,929,238</td>
</tr>
<tr>
<td>College of Education</td>
<td>$621,771</td>
<td>$27,478</td>
<td>$21,579</td>
<td>$1,373,129</td>
<td>$391,597</td>
<td>$3,326,456</td>
<td>$366,712</td>
<td>$6,618,724</td>
</tr>
<tr>
<td>College of Engineering</td>
<td>$51,066,799</td>
<td>$211,767</td>
<td>$4,929,851</td>
<td>$2,790,286</td>
<td>$20,699,351</td>
<td>$11,861,019</td>
<td>$1,546,100</td>
<td>$93,134,973</td>
</tr>
<tr>
<td>College of Humanities &amp; Social Sciences</td>
<td>$7,546,239</td>
<td>$684,810</td>
<td>$564,736</td>
<td>$6,249,787</td>
<td>$198,763</td>
<td>$990,282</td>
<td>$72,408</td>
<td>$18,505,826</td>
</tr>
<tr>
<td>Poole College of Management</td>
<td>$42,200,032</td>
<td>$69,858</td>
<td>$524,595</td>
<td>$4,306,024</td>
<td>$3,560,137</td>
<td>$1,700,300</td>
<td>$221,373</td>
<td>$52,375,659</td>
</tr>
<tr>
<td>College of Natural Resources</td>
<td>$12,453,889</td>
<td>$10,741</td>
<td>$1,136,958</td>
<td>$1,846,594</td>
<td>$1,273,055</td>
<td>$821,007</td>
<td>$370,028</td>
<td>$17,723,252</td>
</tr>
<tr>
<td>College of Sciences</td>
<td>$10,887,096</td>
<td>$2,119,883</td>
<td>$625,502</td>
<td>$431,241</td>
<td>$4,936,370</td>
<td>$1,620,270</td>
<td>$1,372,200</td>
<td>$23,001,816</td>
</tr>
<tr>
<td>College of Textiles*</td>
<td>$7,673,571</td>
<td>$13,567</td>
<td>$135,181</td>
<td>$27,592</td>
<td>$3,896,864</td>
<td>$875,736</td>
<td>$1,200</td>
<td>$12,623,831</td>
</tr>
<tr>
<td>College of Veterinary Medicine</td>
<td>$7,142,091</td>
<td>$108,625</td>
<td>$104,702</td>
<td>$48,333,127</td>
<td>$2,568,648</td>
<td>$30,314,193</td>
<td>$605,547</td>
<td>$89,255,033</td>
</tr>
<tr>
<td>Alumni Association</td>
<td>$1,808,618</td>
<td>$24,253</td>
<td>$29,255</td>
<td>$365,066</td>
<td>$271,188</td>
<td>$765,834</td>
<td>$10,084</td>
<td>$3,295,288</td>
</tr>
<tr>
<td>DASA</td>
<td>$2,948,456</td>
<td>$300,931</td>
<td>$211,571</td>
<td>$3,614,193</td>
<td>$336,067</td>
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**Includes gift information provided by the North Carolina Textiles Foundation.

**Includes gift information provided by the NCSU Student Aid Association.

**Does not include $7M in conditional pledges to Plant Sciences Initiative.

Data Refresh Friday, March 4, 2016
### University Advancement - Institutional Reports
#### Monthly Campaign Commitments by Phase

**Report Date: February 29, 2016**

<table>
<thead>
<tr>
<th>College/Department</th>
<th>Reachback Phase</th>
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* *Includes gift information provided by the North Carolina Textiles Foundation*

**Includes gift information provided by the NCSU Student Aid Association**

**Does not include $7 M in conditional pledges to Plant Sciences Initiative**

**Data Refresh: Friday, March 4, 2016**
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** Includes gift information provided by the NCSU Student Aid Association
+++ Does not include $7 M in conditional pledges to Plant Sciences Initiative

Data Refresh: Friday, March 4, 2016
## Agenda

### University Advancement - Institutional Reports

**Monthly Campaign Commitments by Use**

Report Date: February 29, 2016

<table>
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<th>Endowment</th>
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Date Refresh: Friday, March 4, 2016
CALL TO ORDER
Susan Ward, Committee Chair

ROLL CALL

READING OF STATE GOVERNMENT ETHICS ACT CONFLICT OF INTEREST STATEMENT

1. AGENDA
   A. Approval of February 18, 2016 University Affairs Committee Minutes

2. DISCUSSION ITEMS
   A. Residency for Full Scholarship Undergraduate Students
      Presenter: Krista Ringler, Director, Scholarships and Financial Aid
      The Chancellor is required to provide an annual report to the Board of Trustees on the list of recognized entities awarding full scholarships to undergraduates and the number of students receiving full scholarships from each entity. An overview of the 15-16 Annual Report will be provided.
   B. Students Requiring Special Consideration
      Presenter: Louis Hunt, Sr. Vice Provost for Enrollment Management and Services
      Per Regulation 02.10.04 (Identification and Performance Monitoring of Selected Students Requiring Special Consideration for Admissions), the Chancellor is required to provide to the Board of Trustees and to UNC General Administration an annual update on the special consideration process of Undergraduate Admissions. This report will also include a review of the performance of students previously admitted through that process.

3. REQUESTED ACTION
   ✓ A. Request for Authorization to Plan a New Degree Program
      - B.S. in Agroecology and Sustainable Food Systems
      Presenter: Warwick Arden, Provost and Executive Vice Chancellor
   ✓ B. Renewal of Wake STEM Early College High School MOA
      Presenter: Warwick Arden, Provost and Executive Vice Chancellor

Denotes full Board approval required
C. Revisions to POL 05.25.01 Faculty Grievance and Non-Reappointment Review 7.3C
    Presenter: Warwick Arden, Provost and Executive Vice Chancellor
    Rationale: The Faculty Grievance and Non-Reappointment Review Policy has been revised and
    updated as part of a collaborative effort between the Faculty Senate, Provost's Office and Office
    of General Counsel with the goal of simplifying the policy and making it more "user-friendly." The
    final revised policy is being presented for BOT approval. [An accompanying regulation covering
    the specific procedures and processes--also a product of the work group--will be
    approved at the Executive Officer level.]

D. Annual Report on Management Flexibility 7.3D
    Presenter: Kathy Lambert, Interim Associate Vice Chancellor, Human Resources
    Annual summary to the Board of Governors on personnel actions covered by the
    management flexibility agreement under the authority of BOG policy 600.3.4.

4. INFORMATIONAL REPORTS 7.4
   A. May, 2016 Commencement Speaker (no materials)
      Presenter: Chancellor W. Randolph Woodson
   B. Faculty Senate Report 7.4B
      Presenter: Jeannette Moore, Chair
   C. Staff Senate Report 7.4C
      Presenter: Wyona Goodwin, Chair
   D. Provost Update 7.4D
      Presenter: Warwick Arden, Provost and Executive Vice Chancellor
      a. Academic Programs Update 7.4D.a.
         ▪ Dual Degree - B.S. in Applied Physics (UNC-Pembroke) B.S. in Electrical
           Engineering (NC State)
         ▪ Dual Degree - B.S. in Applied Physics (UNC-Pembroke) B.S. in Mechanical
           Engineering (NC State)
         ▪ Dual Degree - B.S. in Physics (NC Central) B.S. in Mechanical
           Engineering (NC State)
         ▪ Graduate Certificate in Climate Adaptation
      c. Update on Leadership Position Searches
      d. Distinguished Professorship Update

5. CLOSED SESSION (Personnel Matters) 7.5

6. RECONVENE OPEN SESSION

7. ADJOURN

Denotes full Board approval required
The University Affairs Committee of the Board of Trustees of North Carolina State University met February 18, 2016 in the Winslow Hall Conference Room.

Members Present: Susan Ward, Committee Chair
Chip Andrews
Tom Cabaniss
Khari Cyrus
Ann Goodnight
Stan Kelly
Jim Owens, Board Chair

Others Present: Randy Woodson
Warwick Arden
Eileen Goldgeier
Wyona Goodwin
Cecile Hinson
Marc Hoit
Louis Hunt
Calvin Jackson

Amy Jinnette
Kathy Lambert
Sarah Lannom
Michael Lipitz
Mike Mullen
Alan Rebar
PJ Teal
Debbie Yow

Chair Susan 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.

Chair Ward asked if there were corrections to the November 12, 2015 open and closed session committee minutes. Hearing none, she declared the minutes stand approved as drafted.

Dr. Louis Hunt, Senior Vice Provost for Enrollment Management and Services and University Registrar, provided a report on graduation trends, including the number and types of degrees awarded, as well as graduation rates for undergraduate students. The report showed that the university is making progress in undergraduate retention and graduation rates. In addition, during the past ten years there has been significant growth in the number of degrees awarded: 24% growth in bachelor’s degrees, 57% growth in master’s degrees and 39% growth in all doctoral degrees.

Dr. Al Rebar, Vice Chancellor for Research, Innovation and Economic Development, presented the biennial report on NC State’s Centers and Institutes. NC State is home to 33 Centers and 11 Institutes which engage over 1,000 faculty, over 8,000 graduate and undergraduate students, and 160 industry partners. Dr. Rebar explained the role and benefits of Centers and Institutes and also the process by which they are established and reviewed. He also noted that in a 2014 UNC Board of Governors review of UNC system centers and institutes, all of NC State’s Centers and Institutes were validated. Furthermore, all periodic (5-year) reviews of centers, institutes and their leadership are on schedule.
Dr. Rebar next presented a request for continuance of the Ergonomics Center of North Carolina (TECNC), which has completed the required periodic review of activities in accordance with university regulations. Mr. Cyrus made a motion, seconded by Mrs. Goodnight, to approve the Request for Authorization to Continue the Ergonomics Center of North Carolina as presented by Dr. Rebar. The motion carried.

Provost Arden presented two degree-related items. First, he discussed the request to add a new distance education site at Wake Technical Community College for the existing Ed.D. in Adult and Community College Education program. The program was approved as a site based program in 2005 and is currently approved for the UNC-Charlotte Graduate Center. Wake Tech is very interested in housing the cohort program; their administrators are supportive and willing to be involved where appropriate. The target audience will be current or anticipated community college faculty and administrators who will fill the critical need to build a pipeline of future leaders for North Carolina’s community colleges. Second, Provost Arden requested approval of a title change for the on-campus and distance education programs for the Master of Science and Master of Family Life and Youth Development. He explained the College of Agriculture and Life Sciences is requesting these two degrees be renamed Master of Science and Master of Youth, Family and Community Sciences to parallel the department name which was changed in 2014. Current students will have the option to adopt the current program title or adopt the new title. Students entering the program after the proposal is approved will ascribe to the new title. A motion was made by Mrs. Goodnight and seconded by Mr. Kelly to recommend to the full board approval of the degree program requests including the new distance education site and degree title changes as presented by Provost Arden. The motion carried.

Director of Athletics Debbie Yow presented the bonus structure proposal for assistant coaches in the Wrestling program which requires the committee’s approval per Non-Salary and Deferred Compensation Policy 05.15.03. The proposed structure enhances academic and competitive bonuses for Wrestling assistant coaches in recognition of demonstrated program progress and as a proactive retention measure. A motion to approve the Wrestling Assistant Coach bonus structure was made by Mr. Cabaniss and seconded by Mr. Cyrus. The motion carried.

Student Body President Khari Cyrus highlighted some of the new and continuing student government initiatives and campus life events. A few upcoming events include the February 27 Dance Marathon, which raises money for Duke Children’s Hospital; Diversity Education week scheduled for March 14-18; and student government elections taking place on March 1. In terms of recent events, Khari reported that the annual Krispy Kreme Challenge raised more than $195,000 for North Carolina Children’s Hospital. He also noted that last month the Diversity Outreach Department of Student Government hosted a town hall on the racial climate at NC State. Chancellor Woodson thanked Khari for his leadership as Student Body President and for leading campus through some difficult conversations.

Provost Arden shared the following information in his update:

- **Graduate Certificate Programs:** The Department of Youth, Family and Community Sciences is streamlining six graduate certificate programs into two: Leadership and Volunteer Management and Family Life Education and Coaching. Also, a joint interdisciplinary graduate certificate program between the Colleges of Engineering and Sciences has been established in Data Science Foundations.

- **Leadership Position Searches:** On-campus interviews are being conducted this month for the Dean of the College of Education. The Nomination Committee for the Dean of the College of Design is scheduled to recommend finalists for campus interviews to occur at the end of March and the first week of April.

- **The Nomination Committee for the Vice Provost for Institutional Equity and Diversity is scheduled to recommend finalists for campus interviews to occur in mid-March.**

- **Leadership Reviews:** Three comprehensive five-year leadership and program reviews are occurring this semester for Dean Martin-Vega and the College of Engineering, Senior Vice Provost Louis Hunt and the Enrollment Management and Services unit and Vice Provost Alice Warren and the McKimmon Center for Extension and Continuing Education division.

- **Reappointment, Promotion and Tenure Process:** The annual university reappointment, promotion and tenure process is well underway with 118 faculty members submitting dossiers
for this year’s review process. Upon completion of the review process, the conferral of tenure requests will be brought to the committee for approval at the April meeting.

- Chancellor’s Faculty Excellence Program: The Chancellor’s Faculty Excellence Program has hired 41 faculty members. The eight new clusters are bringing candidates to campus and working actively towards offers.

A motion was made by Chair Ward to go into closed session to prevent the premature disclosure of an honorary degree or award; to establish the amount of compensation and other material terms of an employment contract or proposed employment contract; and to consider the qualifications, competence, performance, character, fitness, conditions of appointment or conditions of initial employment of an employee or prospective employee. Mr. Cyrus seconded the motion. The motion carried.

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

Mr. Kelly made a motion to approve the personnel actions discussed in Closed Session including a head coach employment agreement, four non-salary compensation requests and four requests to confer tenure. Mr. Andrews seconded the motion. The motion carried.

With no further business, Chair Ward announced the meeting adjourned at 4:33 p.m.

_______________________________________
Susan P. Ward, Chair
Residency for Full Scholarship Undergraduate Students  
REG 02.70.3

1. **INTRODUCTION**

1.1 Pursuant to North Carolina General Statute 116-143.6, the North Carolina State University Board of Trustees authorized the Chancellor to recognize entities as he/she may deem appropriate as providers of full scholarships for undergraduate students. Pursuant to that authority, the Chancellor will post annually a list of such providers in the Standard Operating Practice on Residency for Full Scholarship Undergraduates, at least six months prior to the semester in which it is to be effective.

1.2 Effective with the Summer II 2006 semester, NC State University will consider students who accepted admission on or after July 1, 2005 and who receive full scholarships, as defined by North Carolina General Statute 116-143.6, from the entities designated pursuant to Section 1.1, to be residents of North Carolina for all purposes intended by N.C.G.S. 116-143.6.

2. **REPORT TO THE BOARD OF TRUSTEES**

The Chancellor will provide the Board of Trustees with an annual report showing a list of the recognized entities and the number of students receiving full scholarships from each entity.

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**Annual Report**

Approved Recognized Entities for 2015-16:

- Park Foundation
- NCSU Foundation, Inc.
- Endowment Fund of NCSU
- NC Agricultural Foundation, Inc.
- NC Dairy Foundation, Inc.
- NC Tobacco Foundation, Inc.
- NCSU Engineering Foundation
- NC Forestry Foundation
- Pulp and Paper Foundation, Inc.
- NCSU College of Sciences Foundation
- NC Textile Foundation
- NC Veterinary Medical Foundation, Inc.
- NCSU Alumni Association, Inc.
- Provost’s Academic Award, in conjunction with University Endowed Scholarship Funding

*The NCSU Student Aid Association/Wolfpack Club was an approved entity by NC State until July 1, 2010 when the NC General Assembly rescinded the resident tuition benefit for student athletes.*

<table>
<thead>
<tr>
<th>Recognized Entity</th>
<th># New FR/TR Full Scholarship Non-Resident Students Receiving Resident Tuition Benefit</th>
<th>Total # (New + Continuing) Full Scholarship Non-Resident Students Receiving Resident Tuition Benefit</th>
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<tr>
<td>Park Foundation</td>
<td>13</td>
<td>52</td>
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<tr>
<td>Endowment Fund of NCSU</td>
<td>0</td>
<td>1</td>
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<tr>
<td>Natural Resources Foundation</td>
<td>1</td>
<td>1</td>
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<tr>
<td>Pulp and Paper Foundation</td>
<td>1</td>
<td>6</td>
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<tr>
<td>NC Textiles Foundation</td>
<td>0</td>
<td>3</td>
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<tr>
<td><strong>TOTALS</strong></td>
<td><strong>15</strong></td>
<td><strong>63</strong></td>
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</tbody>
</table>
Undergraduate Admissions: Special Consideration Process Update

Louis Hunt
Vice Provost and University Registrar
Enrollment Management and Services
Purpose

- Provide a mechanism to admit students with exceptional talents in areas important to the university community.

- The overriding criterion in all admissions decisions is the potential for academic success.

- Process is governed by REG 02.10.4
  - “Identification and Performance Monitoring of Selected Students Requiring Special Consideration for Admissions” – issued in 2003 for the 2004/05 academic year.

- Complies with UNC-GA Regulation 700.1.1[R]
The special consideration process includes students that do not meet UNC Minimum Admissions Requirements.

Or, meet two of the following criteria:
- Rank in bottom half of high school class
- High School GPA less than 2.5
- Total SAT less than 900 (verbal and math)
- SAT Verbal less than 420
- SAT Math less than 420
Students are selected for consideration on the basis of their application or advocacy by one or more campus units:

- Undergraduate Admissions
- Academic College of Department
- Athletics
  - Academic Support for Student Athletes
  - Coaching Staff
- Other campus units

Students are presented to the committee by the Director of Admissions
Committee Process

- The committee includes the following representation:
  - Admissions Committee, Chair
  - Admissions Committee, Former Chair
  - Vice Provost, Enrollment Management and Services
  - Dean, Academic and Student Affairs
  - Director, Academic Support for Student Athletes
  - Director, Undergraduate Admissions
- Each case is individually reviewed in detail.
- Additional materials may be required from internal or external sources.
2011 – 2015 Cohorts

SELECTION RESULTS
## Admissions Data

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Enrolled</strong></td>
<td>4564</td>
<td>4225</td>
<td>4165</td>
<td>4374</td>
<td>4210</td>
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<tr>
<td><strong>High School GPA</strong></td>
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<td>4.43</td>
<td>4.45</td>
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<td><strong>SAT Total</strong></td>
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<td><strong>SAT Verbal</strong></td>
<td>579</td>
<td>591</td>
<td>604</td>
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<td><strong>SAT Math</strong></td>
<td>612</td>
<td>627</td>
<td>639</td>
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<tr>
<td><strong>ACT</strong></td>
<td>26</td>
<td>27</td>
<td>28</td>
<td>28</td>
<td>29</td>
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<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
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<tbody>
<tr>
<td>Enrolled</td>
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<td>High School GPA</td>
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<td>SAT Total</td>
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<td>885.3</td>
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<td>SAT Verbal</td>
<td>420.6</td>
<td>403.6</td>
<td>426.1</td>
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<td>SAT Math</td>
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<td>431.7</td>
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Special Consideration
Five Year Enrollment

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<tr>
<th>Year</th>
<th>Athletes</th>
<th>Non-Athletes</th>
</tr>
</thead>
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<tr>
<td>2011</td>
<td>10</td>
<td>7</td>
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<tr>
<td>2012</td>
<td>15</td>
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<td>2013</td>
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<td>2014</td>
<td>19</td>
<td>0</td>
</tr>
<tr>
<td>2015</td>
<td>17</td>
<td>0</td>
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</table>
Special Consideration by Sport - Ten Year Enrollment
ACADEMIC PERFORMANCE OF SPECIAL CONSIDERATION COHORTS
Graduation Rates of Students Admitted Through Special Consideration

<table>
<thead>
<tr>
<th>Year</th>
<th>Graduation Rate</th>
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<tbody>
<tr>
<td>Fall 2006</td>
<td>64.1%</td>
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<tr>
<td>Fall 2007</td>
<td>68.2%</td>
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<tr>
<td>Fall 2008</td>
<td>54.0%</td>
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<tr>
<td>Fall 2009</td>
<td>52.5%</td>
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<tr>
<td>Grand Total</td>
<td>59.5%</td>
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</table>
Graduation Rates of Students Admitted Through Special Consideration

<table>
<thead>
<tr>
<th></th>
<th>Fall 2006</th>
<th>Fall 2007</th>
<th>Fall 2008</th>
<th>Fall 2009</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletes</td>
<td>71.4%</td>
<td>65.0%</td>
<td>60.0%</td>
<td>66.7%</td>
<td>58.7%</td>
</tr>
<tr>
<td>Non-Athletes</td>
<td>55.6%</td>
<td>70.8%</td>
<td>51.4%</td>
<td>36.8%</td>
<td>60.2%</td>
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</table>
Graduation Majors of Students Admitted Through Special Consideration

Ten Year Enrollment
Assessment

- Students admitted through special consideration processes are closely monitored and success rates are reported to the following:
  - Admissions Committee
  - Faculty Senate
  - Special Consideration Committee
  - Provost’s Athletics Roundtable
  - Board of Trustees
CONCLUSION / QUESTIONS
APPENDIX A

UNIVERSITY OF NORTH CAROLINA
REQUEST FOR AUTHORIZATION TO PLAN
A NEW DEGREE PROGRAM

THE PURPOSE OF ACADEMIC PROGRAM PLANNING: Planning a new academic degree program provides an opportunity for an institution to make the case for need and demand and for its ability to offer a quality program. The notification and planning activity to follow do not guarantee that authorization to establish will be granted.

Date:  March 1, 2016

Constituent Institution: North Carolina State University

CIP Discipline Specialty Title: Agroecology and Sustainable Agriculture

CIP Discipline Specialty Number: ___01.0308__ Level: B _X_ M _____ Res. Doc. _____ Prof. Doc. ___

Exact Title of the Proposed Program: Agroecology and Sustainable Food Systems

Exact Degree Abbreviation (e.g., B.S., B.A., M.A., M.S., Ed.D., Ph.D.): B.S.

Does the proposed program constitute a substantive change as defined by SACS? No

The current SACS Substantive Change Policy Statement may be viewed at: http://www.sacscoc.org/pdf/081705/Substantive%20Change%20policy.pdf

If yes, please briefly explain.

Proposed date to enroll first students in degree program: Month Jan Year 2018

1. Provide a summary of the status of this proposal in your campus review processes.

a. List the campus bodies that reviewed and commented on this Appendix A proposal before submission to UNC General Administration. What were their determinations? Include any votes, if applicable.

This proposal was reviewed, endorsed recommended or approved by the following:

NCSU Director, Center for Environmental Farming Systems (CEFS)
Multidisciplinary Sustainable Agriculture Faculty Team associated with CEFS
Academic Advising Committee, Departments of Crop Science and Horticultural Science (unanimous approval)
Faculty members, Departments of Crop and Soil Sciences and Horticultural Science (unanimous approval)
Head, Department of Crop and Soil Sciences
Head, Department of Horticultural Science
Associate Dean for Academics, College of Agriculture and Life Sciences
Dean, College of Agriculture and Life Sciences
University Courses and Curriculum Committee
Associate Vice Provost for Academic Programs and Services
b. Summarize any issues, concerns or opposition raised throughout the campus process and comment periods. Describe revisions made to address areas of concern.

While this multidisciplinary and innovative curriculum was strongly supported, the original name proposed was “Sustainable Agriculture”, which some faculty in the Department of Crop Science raised concerns about. An alternative major name was proposed, “Agroecology and Sustainable Food Systems”, which the faculty unanimously supported and felt better represented the science behind sustainable agriculture and the greater food system perspective. An additional concern regarding the potential duplication of degree programs was raised by faculty in the Interdisciplinary Studies Self-Design (IDS) BS degree program. However, after meeting with the IDS faculty, the group unanimously concluded that the hands-on scientific foundation and the increased curriculum and training opportunities focused in agriculture and horticultural sciences in the Agroecology and Sustainable Food Systems degree program provided students a uniquely different educational opportunity. Moreover, this Agroecology and Sustainable Food Systems major would be considerably more visible and accessible for a greater number of students than those designing unique study programs under the IDS program.

2. Describe the proposed new degree program. The description should include:

a. A brief description of the program and a statement of educational objectives;

Numerous sustainable agriculture and related programs have been established at universities nationwide and these programs and courses continue to attract an increasing number of new students to agricultural sciences, including women, under-represented minorities and individuals from non-traditional backgrounds. North Carolina State University (NC State) is internationally and nationally recognized for its sustainable agriculture and horticulture research, education and outreach programs through the Center for Environmental Farming Systems (CEFS, http://www.cefs.ncsu.edu/).

The departments of Crop and Soil Sciences and Horticultural Science will collaborate together to develop this new multidisciplinary Agroecology and Sustainable Food Systems major that builds on more than a decade of Agroecology curricula development at NC State. Moreover, developing a cross departmental major will produce significant advantages to sharing resources, advising, assessment, recruitment and advertising, thereby creating economical sustainability within the program. From the existing faculty capacity, facilities, strong academic foundation in agroecology, horticulture, and agricultural science education, and recognized strengths in sustainable agriculture and horticulture research and extension at NC State, developing this new Agroecology and Sustainable Food Systems major will not require new faculty positions, facilities or new resources to establish it successfully and without delay. We have only requested a program assistant position that would help develop a strong recruitment program and materials to ensure the success of this new major. The College of Agriculture and Life Sciences (CALS) Academic Programs, the newly merged Department of Crop and Soil Science and the Department of Horticultural Science at NC State are committed to providing the support needed for this program assistant.
This Agroecology and Sustainable Food Systems major is proposed for five main reasons:

1. This new major will build on over 10 years of agroecology academic development and the historic strengths in agricultural sciences, sustainable agriculture, and STEM at NC State.

2. The NC State CALS most recent Strategic Plan specifically targets supporting interdisciplinary programs that will train students to address the complex food and agricultural challenges locally and globally. This Agroecology and Sustainable Food Systems major proposed here was designed specifically with that goal first. This new major will provide graduates with the requisite multidisciplinary knowledge, critical thinking skills and enhanced systems level awareness to address food and agricultural challenges now and in the future from a holistic lens of balancing the environmental resources with social and economic perspectives.

3. No Agroecology and Sustainable Food Systems program or related undergraduate major in Sustainable Agriculture exists in the mid-Atlantic and South-Atlantic regions and only one is in the whole southern state region (University of Kentucky). The faculty expertise, diverse research programs, cooperative extension programs and community relationships focused in sustainable agriculture and local food systems developed at NC State University are a unique and perfect foundation for the successful development of an undergraduate program in Agroecology and Sustainable Food Systems. Moreover, the Center for Environmental Farming Systems offers an important NC State facility for undergraduate engagement in research and extension activities that provide unique career and networking opportunities for students in this major program.

4. The novel Agroecology and Sustainable Food Systems curriculum, integrated with the service learning and community engagement, research and global learning experiences offered at NC State University can serve as a national model for other Land-Grant Universities.

5. This Agroecology and Sustainable Food Systems major will prepare future food system leaders with rigorous training in agricultural and horticultural sciences to serve the growing employment needs in the public and private sector that demand the multidisciplinary knowledge of sustainability as related to food, agriculture and natural resource management.

Educational Objectives:

The following educational objectives are proposed and would augment existing educational objectives within CALS at NC State. Upon completing the Agroecology and Sustainable Food Systems Major, graduates would be able to:

1. Describe and evaluate complex agriculture, horticulture and food systems that integrate social, environmental and economic perspectives using a holistic approach of understanding the parts and their interactions.

2. Apply scientific reasoning and critical thinking to address sustainability challenges in real world problems in local and global agricultural and food systems.

3. Demonstrate effective communication, leadership, and teamwork with diverse audiences and viewpoints gained through various experiential learning and community engagement opportunities.
b. **The relationship of the proposed new program to the institutional mission;**

The proposed Agroecology and Sustainable Food Systems major is consistent with the **NC State CALS Strategic Plan, “Our Envisioned Future”**. Specifically, this new major addresses two of the three pillars in this strategic plan. Graduates will gain the requisite knowledge to address grand challenges in food, agriculture, energy and environment (Pillar 1) and will strengthen multidisciplinary and partnership driven teams in sustainable agriculture (Pillar 2). This cross-departmental degree will develop national and international recognition for CALS faculty for their research, teaching and extension, a target of Goal 1. The research-based information generated and the coursework available will provide students in the Agroecology and Sustainable Food Systems degree unique learning opportunities that will foster an integrated approach to problem solving. Additionally, this cross-departmental degree will be in-line with the re-organization of CALS into Collaborative Systems. The innovation, efficiency and flexibility of the newly developed Plant Systems Collaborative will facilitate advising and support of students in the multidisciplinary Agroecology and Sustainable Food Systems major.

Moreover, the **UNC-GA’s, “A Vision for the Future” strategic plan** includes a high priority on strengthening academic quality (Goal 2) and serving the people of North Carolina (Goal 3). Supported by multidisciplinary curricula, community engagement experiences and interaction with faculty involved in cutting edge sustainable agriculture research, students in this new major program will gain hands-on learning experiences in examining real-world food and agricultural challenges from multiple perspectives. Graduates of this degree program will be uniquely equipped to transform lives and provide leadership for sustainable agriculture, food security challenges and social, economic, and technological development in North Carolina, the nation and around the world.

c. **The relationship of the proposed new program to existing programs at the institution and to the institution’s strategic plan**

In **NC State’s 2011-2020 Strategic Plan, The Pathway to the Future**, five overarching goals have been identified to direct NC State’s future planning. The Agroecology and Sustainable Food Systems degree will address four of these five goals. The Agroecology and Sustainable Food Systems degree is highly unique as a multidisciplinary degree including the agricultural and horticultural sciences, as well as sociological and economic disciplines. Students in this degree program will benefit from this educational innovation and enhance multidisciplinary scholarship to address the grand challenges of food security of a global society. Additionally, this dual-departmental degree will enhance organizational innovation by creating a culture of collaboration, and cooperation with the CALS Collaborative Plant Systems that will improve student education while utilizing existing resources most efficiently. Finally, this degree program is designed to develop graduates with the scientific knowledge and hand-on experiences in local and global food issues and formation of strategic partnerships to address these issues.

NC State already has two of the foundational courses developed for this major – **Introduction to Agroecology** (CS 230), and **Advanced Agroecology course and laboratory** (CS 430), as well as an **Agroecology Minor** program and an **Agroecology Concentration** in the Plant and Soil Sciences BS degree program through the Department of Crop and Soil Sciences. Moreover, a rigorous and highly sought after Sustainable Agriculture Summer Internship program (CS 492) has been taught at CEFS through NC State since 1999. Student demand has consistently increased for this Sustainable Agriculture Internship Program and over 50 students nationwide and internationally apply each year for approximately 12-14 spots in this program. These agroecology courses and diverse selection of
existing courses at NC State will provide the foundational curriculum for the Agroecology and Sustainable Food Systems major. The Agroecology Minor program will continue as established once the new major is developed but the Agroecology concentration will cease and these students will be recruited into the Agroecology and Sustainable Food Systems major. We do not anticipate the termination of the Agroecology concentration to affect the student enrollment in the Plant and Soil Sciences degree program since this targeted population of students are different than the other existing concentrations in this major (Agribusiness, Agronomic Science, Crop Production, Crop Biotechnology, and Soil Science).

d. Special features or conditions that make the institution a desirable, unique, or cost effective place to initiate such a degree program.

The following special features, resources and facilities and conditions make NC State a desirable, unique and cost effective location to house the proposed Agroecology and Sustainable Food Systems major:

- NC State’s strong commitment to and strategic mission of advancing sustainable solutions to our local and global food and agricultural challenges.
- Over 20 years of cutting edge research, extension programing and resources focused on sustainable agriculture and horticulture through the Center for Environmental Farming Systems (CEFS), a partnership among NC State, NCA&TU and the North Carolina Department of Agriculture and Consumer Services will provide students unique opportunities to engage in mentored sustainable agriculture research and community engagement opportunities.
- The existing agroecology courses, historic strength in agriculture, horticulture, and food related education, faculty capacity, and strong commitment to agroecology and sustainable food system education at NC State.
- Strong community and stakeholder partnerships with related career opportunities in sustainable agriculture and food systems through NC State.
- Increasing number of sustainable agriculture programs at community colleges in North Carolina that can function as transfer pipeline programs to NC State (listed below).
  - Central Carolina Community College (Pittsboro)- Sustainable Agriculture Associate Degree and Continuing Education program
  - Craven Community College- Sustainable Agriculture Associate Degree
  - Western Piedmont Community College - Sustainable Agriculture Associate Degree
  - Wayne Community College- Applied Science Degree, Sustainable Agriculture Associate Degree

The Department of Horticultural Science has an existing Articulation Agreement with all the community colleges with Horticulture related degree programs in the state of North Carolina.

3. Provide documentation of student demand. Discuss the extent to which students will be drawn from a pool of students not previously served by the institution. Evidence of student demand should reflect likely applicant pools (local, regional, statewide, national, or global) and could include:

a. Surveys of potential enrollees (such as students or alumni of feeder programs, community college enrollees, etc.).

An online survey was conducted from March through April 2014 with 76 current undergraduate students representing 24 majors and seven out of the ten colleges at NC State
University. This survey asked students about the major name, opportunities and resources at NC State that would attract them to this major and if NC State should offer a major like this. **Results from this survey showed an overwhelming 97% of the students surveyed believed NC State should be offering an Agroecology and Sustainable Food Systems major like this.** We are confident that this new Agroecology and Sustainable Food Systems undergraduate major would attract NEW students to the college and university. A growing amount of students and youth are interested in sustainability and food issues demonstrated by the increasing number of individuals seeking formal and informal education and training in organic agricultural production, food policy and local food issues. While a number of non-agricultural and liberal arts universities have developed successful agroecology and related educational programs, students value and are seeking out these agroecology courses and degrees from land-grant universities that offer a wide diversity of agricultural courses and engage with many faculty researchers that provide a strong foundation in agriculture. NC State not only can provide the general agricultural science education but is also uniquely recognized nationally for the research, extension activities, faculty expertise in sustainable agriculture, and the foundational agroecology education courses.

**Over 50% of students in the online survey above also indicated internships, research and study aboard opportunities, community engagement and service learning experiences focused in agroecology and food systems as well as a student farm near campus would attract them to this major.** We have already developed these important experiential learning opportunities and career ladder components at NC State that will attract, train and graduate highly skilled students in agroecology and sustainable food systems. We have been successfully running a focused and highly sought after summer Sustainable Agriculture Internship program for the past 16 years; we have integrated a required research or internship experience into the Agroecology concentration program and have a wide diversity of possible faculty research mentors or community partners in sustainable agriculture and local food systems for students to choose from. We have also established a student farm, the Agroecology Education Farm (http://agroecologyfarm.ncsu.edu/), approximately 10 minutes from campus at the Lake Wheeler Field Station that provides important experiential learning opportunities for a diversity of students at NC State and the surrounding urban community. Lastly the agroecology courses at NC State have integrated important service learning activities and plan to expand these in the major program that will also attract students to this program.

We already know from direct experience with the agroecology courses NC State that students from diverse majors and non-agricultural backgrounds are searching for a multidisciplinary program in agroecology and food systems that emphasizes systems-level approaches and sustainable, scientifically founded practices in agriculture and horticulture. **We are confident that a new major in Agroecology and Sustainable Food Systems will help attract NEW students to enroll at NC State University.** We also anticipate a fair number (approximately 6/year) of transfer students from related North Carolina and other 4 year programs nationwide as well as those transferring from the growing number of sustainable agriculture programs at community colleges (see section 5c for more detail). The Departments of Crop and Soil Sciences and Horticultural Science wish to increase the number of undergraduate majors by 50%. Both departments have increased recruiting efforts in the middle and high schools as well as at community colleges. These departments believe that the Agroecology and Sustainable Food Systems major will enhance these recruitment efforts, especially recruiting students directly from high school programs and those from non-agricultural backgrounds.
b. Enrollment data from existing minor, concentration or certificate programs on your campus.

There is a growing student demand for a major like this at NC State demonstrated by the increasing number of students in the Introduction to Agroecology course (over 100 per year) and students enrolled in the Agroecology Minor and Agroecology concentration programs.

While the numbers of students in minor programs are difficult to account for, there is consistent growth in the Agroecology Minor program with 44 students enrolled in the Agroecology Minor in the last 8 years, averaging 5-8 students per year. Sixteen students have enrolled in the Agroecology Concentration Program in the Plant and Soil Sciences major in the past 5 years. It’s evident at NC State, as well as nationwide; there are a growing number of students that are demanding a new multidisciplinary major program in Agroecology and Sustainable Food Systems. These students are not attracted to, or perhaps not satisfied with just a “Plant and Soil Sciences” degree title with an Agroecology concentration. This is evident at NC State University with the growing number of students that have developed their own degrees with titles such as “Sustainable Agriculture and Community Food Systems” under the IDS program, which Dr. Schroeder-Moreno, the agroecology program coordinator also advises for. **We are confident that this new Agroecology and Sustainable Food Systems major will not only attract new students to NC State but the highest academic quality of students as observed from our experience thus far.**

c. Enrollment data from similar programs in UNC, the state, or country.

Agroecology, Sustainable Food Systems and related programs are growing nationwide in response to the increasing student demand and career opportunities with this discipline. Currently there are 28 different B.S. or B.A. programs have been established in Agroecology, Sustainable Agriculture and related degrees in the nation. Specific major titles and universities were acquired from the national list on the Sustainable Agriculture Education Association (SAEA, [http://sustainableaged.org/projects/degree-programs/](http://sustainableaged.org/projects/degree-programs/)). Fifteen of these programs are at Land Grant Universities and there is more concentration, minor and certificate programs that are growing in number each year. It is clear that students are interested in sustainable agriculture and related education programs and more universities are responding to this demand.

No Agroecology and Sustainable Food Systems or related undergraduate major exists in the mid-Atlantic and South-Atlantic regions and only one is in the whole southern state region (University of Kentucky). Appalachian State University has a undergraduate major (B.S.) in Sustainable Development with a Agroecology and Sustainable Agriculture Concentration. Appalachian State University’s degree is concentrated in development and the Agroecology and Sustainable Agriculture concentration courses do help provide some important courses focused in agroecology and hands-on application of these sciences, but lacks the breadth and diversity of agriculture, horticulture and food systems courses at NC State that this proposed degree would offer.

Nationwide, the two foremost sustainable agriculture undergraduate programs at Land-Grant Universities and ones that this proposed curriculum are modeled after are the “Sustainable Agriculture and Food Systems” B.S. major at University of California (UC), Davis and the “Sustainable Agriculture” B.S. major at the University of Kentucky. The University of Kentucky has over 70 students enrolled in the Sustainable Agriculture undergraduate major after 5 years. Colleagues at University of CA Davis shared their yearly student enrollment data in the Sustainable Agriculture and Food Systems (SAFS) major on Feb 5, 2016 which illustrates the growth of the program from when they began in 2011 until this current semester.
The consistent growth in the number of students in the UC Davis program are also reflected in the many other sustainable agriculture, agroecology and related programs nationwide. Just in the past few years, there have been a number of new agroecology related undergraduate major programs, such as the Soils and Sustainable Crop Systems B.S. program at Clemson University that changed its name in 2014 from Plant and Environmental Sciences. There are also a growing number of agroecology related concentration programs under major programs that are too new or difficult to demonstrate student enrollment data but point to the evident growing student demand for these programs. **We are confident that a program like this at NC State will attract new students to the university, especially considering the growing community interest in local and sustainable food in our state and our recognized research and extension programs in sustainable agriculture at NC State and through the Center for Environmental Farming Systems.**

4. **Provide evidence of societal demand and employability of graduates from as many of the following sources as feasible unless a good reason exists why such evidence cannot be obtained and similar evidence is presented from sources not listed here.**

a. **Labor market information** ([www.ncworks.gov](http://www.ncworks.gov)) – Current and projected industry and occupational data by region and statewide from the NC Department of Commerce. Available data include (but are not limited to):

(1) **Area, occupation, and industry profiles.**

A degree program in Agroecology and Sustainable Food Systems that emphasizes critical thinking, hands-on learning, community engagement and research opportunities will increase student understanding and expand future career options. We are confident that this Agroecology and Sustainable Food Systems major program will successfully prepare graduates for the growing jobs now and in the future that require students to understand sustainable and multidisciplinary approaches to the growing challenges of our food and agriculture system. Graduates completing this major would be prepared for a large diversity of jobs that cross both agricultural related careers as well as the growing number of sustainable and “GREEN” jobs related to food and agriculture, many of which are new and developing in the job market. Occupational Profile information available from the North Carolina Department of Commerce ([www.ncworks.gov](http://www.ncworks.gov)) indicates a bright outlook nationally when “sustainable” and “agriculture” are searched as key words approximately 1014 jobs appear in just the state of North Carolina.

At the national level through the U.S. Department of Labor, Bureau of Labor Statistics most recent publication of the Occupational Outlook Handbook ([www.bls.gov/ooh/](http://www.bls.gov/ooh/)), when “sustainable agriculture” is searched the 2014 median pay for Agricultural and Food Scientists is $60,690 and there were approximately 36,100 jobs in this sector during that same year. A degree in Agroecology and Sustainable Food Systems from NC State would train students in traditional agricultural careers but also increase students’ career opportunities by crossing over to career paths as ‘Environmental Scientists’ and
‘Conservation Scientists’ because of the additional focus in sustainability and food systems. The Occupational Network online (O-Net, https://www.onetonline.org/) also demonstrated this increased diversity of traditional agricultural jobs and sustainability related jobs when ‘sustainable agriculture’ was searched producing 141 specific jobs in this category.

(2) NC occupational and employment projections.

Many of the type of jobs in North Carolina that a graduate with a Agroecology and Sustainable Food Systems major can obtain will fall primarily into the category of “Professional, Scientific and Technical Services” when employment projections are searched. Estimated employment in this category (searched from the www.ncworks.gov site) were 180,350 in 2010 and projected to increase by 2.3% annually for an estimate of 226,860 jobs in 2020, which is one of the largest projected increases in the different industry categories in NC.

Occupational projections for graduates in the proposed Agroecology and Sustainable Food Systems major fall into SIX diverse categories according to the North Carolina Department of Commerce (www.ncworks.gov): Sustainability Specialists, Urban and Regional Planners, Agricultural Technicians, Chief Sustainability Officers, Industrial Ecologists and Sales Representatives/Technical and Scientific Products described below

<table>
<thead>
<tr>
<th>Occupational Category</th>
<th>No of Job Openings in NC</th>
<th>2013 NC Average Annual Wage Range</th>
<th>2013 NC Estimated Median Annual Wage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sustainability Specialists</td>
<td>240</td>
<td>$41,650-$76,550 (^5)</td>
<td>$62,490 (^5)</td>
</tr>
<tr>
<td>Urban and Regional Planners</td>
<td>934 (^3)</td>
<td>$30,040-$116,740 (^4)</td>
<td>$65,230</td>
</tr>
<tr>
<td>Agricultural Technicians</td>
<td>916 (^5)</td>
<td>$23,770-$73,340 (^6)</td>
<td>$35,060</td>
</tr>
<tr>
<td>Chief Sustainability Officers</td>
<td>18,201 (^7)</td>
<td>$98,610-$107,00 (^8)</td>
<td>$98,610</td>
</tr>
<tr>
<td>Industrial Ecologists</td>
<td>913 (^9)</td>
<td>$54,440-$118,810 (^10)</td>
<td>$63,570</td>
</tr>
<tr>
<td>Sales Representatives/Technical and Scientific Products</td>
<td>20,762 (^11)</td>
<td>$39,530-$131,270 (^12)</td>
<td>$76,330</td>
</tr>
</tbody>
</table>

\(^1\) Average wages for occupations that are in the same occupational family as Sustainability Specialists.

\(^3\) Number of job openings for Urban and Regional Planners and for the related occupational group of Life, Physical, and Social Science Occupations

\(^4\) Average annual wages for occupations related to Urban and Regional Planners

\(^5\) Number of job openings for Agricultural Technicians and for the related occupational group of Life, Physical, and Social Science Occupations

\(^6\) Average annual wages for occupations related to Agricultural Technicians

\(^7\) Number of job openings for the related occupational group of Management Occupations (no data available for Chief Sustainability Officers)

\(^8\) Average annual wages for occupations related to Chief Sustainability Officers

\(^9\) Number of job openings for the related occupational group of Life, Physical, and Social Science Occupations (no data available for Industrial Ecologists)

\(^10\) Average annual wages for occupations related to Industrial Ecologists

\(^11\) Number of job openings for Sales Representatives, Wholesale and Manufacturing, Technical and Scientific Products and for the related occupational group of Sales and Related Occupations

\(^12\) Average annual wages for occupations related to Sales Representatives, Wholesale and Manufacturing, Technical and Scientific Products
(3) **Job postings.**

There are a variety of job postings that are applicable for a graduate with a Agroecology and Sustainable Food Systems major and a few are posted below (accessed on August 25, 2014 from the NC Works online (www.works.gov).

- **Sustainable Foodservice Broker Territory Manager Department: Sales Supervisor, Green Nature Marketing Company, Raleigh, NC**

- **Scientist, Novozymes, Raleigh, NC**

- **Southeast Bioregion Team Leader, BioHabitats, Inc., Raleigh, NC**

- **Agricultural Biologist, BASF, Durham, NC**

- **Agriculture Customer Support Specialist, Technekes LLC, Charlotte, NC**

- **Teacher - CTE-Agriculture, Public Schools of NC, Moore County Schools, NC**

- **Innovation Advisor (Food & Agriculture Practice, Research Triangle Park, NC**

(4) **Economic and demographic indicators.**

The Bureau of Labor Statics (BLS) Green Jobs Initiative ([http://www.bls.gov/green/home.htm](http://www.bls.gov/green/home.htm)) defined and described “Green Jobs” which graduates in Agroecology and Sustainable Food Systems would be applicable for.

BLS defined “Green jobs’ as either: “1) jobs in businesses that produce goods or provide services that benefit the environment or conserve natural resources or 2) jobs in which workers’ duties involve making their establishment’s production processes more environmentally friendly or use fewer natural resources”. While BLS does not have wage data specifically for sustainability occupations, they went on say “if the growth of sustainability continues; more organizations will employ sustainability professionals. The benefits of this growth should be noticeable in many sectors of U.S. industries, from services, such as finance and health care, to manufacturing and construction. As sustainability becomes more widespread, new opportunities to contribute to the field will arise. A new market focused on sustainability should build job prospects for more future workers.


Occupations in scientific research and development in sustainability have become increasingly multidisciplinary and vary in professions from atmospheric scientists, biochemists, conversation scientists, microbiologists, natural science managers, and soil and plant scientist. While BLS does not have wage data specifically for sustainability occupations median annual wages in May 2011 for scientist occupations that include sustainability professionals range from $58,940 to $114,770 annually.

The following are state and national employment projections and wage data from a sampling of public agencies and private organizations:

- **The U.S. Department of Labor, Employment and Training Administration sponsored website, MySkills My Future (www.myskillsmyfuture.org), shows current employment in North Carolina of 29,978 Sustainability Specialists currently employed, 950 projected job openings per year in the state, and typical annual salary of $47,500 - $83,400 (website accessed on 8/29.2014). Sustainability specialists are described as Addressing organizational sustainability issues, such as waste stream management, green building practices, and green procurement plans.**

- **Indeed (www.indeed.com), a worldwide job search site reports 660 fulltime jobs in the U.S. searched under "sustainable agriculture" specifically with average salaries ranging from $30,000-$100,000 (website accessed on 08/29/2014).**

c. **Wages and employment of graduates in North Carolina. – Percentage of graduates of UNC programs employed in North Carolina and wages paid to graduates of UNC programs employed in North Carolina.**

The proposed degree is not currently offered in North Carolina.

d. **Wages and employment of graduates nationally when these data becomes available (see http://www.doleta.gov/performance/pfdocs/wris2_status_state_optin.pdf) – Wages paid to graduates of UNC programs employed nationally (North Carolina partnership in WRIS2 forthcoming).**

The proposed degree is not currently offered in North Carolina.

e. **Job-posting analyses.**

A brief overview of the numbers of jobs posted on a sample of job search websites (accessed 08/29/2014):

- **NC Works Online (www.newworks.gov) reports 1014 jobs in North Carolina when “sustainable” and “agriculture” are searched as key words.**

- **Indeed (www.indeed.com), a worldwide job search site reports 660 fulltime jobs in the U.S. searched under "sustainable agriculture" specifically with average salaries ranging from $30,000-$100,000.**

- **MySkills My Future (www.myskillsmyfuture.org), shows current employment in North Carolina of 29,978 Sustainability Specialists currently employed, 950 projected job openings per year in the state, and typical annual salary of $47,500 - $83,400.**

f. **Projections from professional associations or industry reports.**

Projections from professional associations or industry reports on agroecology and sustainable agriculture jobs are not currently available. However, even the main professional association in agriculture in the United States, the Agronomy Society of America, recognizes the importance of sustainable agriculture education and organic farming as critical approaches for the future of our food and natural resource management challenges (see https://www.agronomy.org/about-agronomy/learn-more).
g. Data concerning employment and wages for graduates of a particular program area from the UNC alumni survey when this survey and data become available.

The proposed degree is not currently offered at any UNC institution and therefore data on graduates are not available.

5. List all other public and private institutions of higher education in North Carolina currently operating programs similar to the proposed new degree program, including their mode of delivery.

The only related program somewhat similar to what we are proposing is the Sustainable Development (B.S.) major with an Agroecology and Sustainable Agriculture Concentration at Appalachian State University. As mentioned previously, this is a concentration program, not a major program, which makes it different in curriculum and course options and degree name and identity than the Agroecology and Sustainable Food Systems major we are proposing at NC State University. While there may be some similarity in a few of the foundational courses between NC State University and Appalachian State’s program such as the “Introductory Agroecology” and the ‘Integrated Pest Management’ courses at NC State and the “Principles of Agroecology” or “Ecologically-based Pest Management” courses at Appalachian State, the diverse and numerous agriculture, horticulture, soil science, entomology, agricultural education and extension course offerings at NC State and the three separate concentrations in Agroecology Research and Production, Urban Horticulture and Community Food Systems developed through the proposed major make it substantially different than the concentration program at Appalachian State University. As mentioned previously, major students at NC State will additionally have many opportunities to participate in the variety of sustainable agriculture research, service learning and internship experiences already developed through NC State that broaden their major experience and help them develop career paths.

a. Show a four-year history of enrollments and degrees awarded in similar programs offered at other UNC institutions (using the format below for each institution with a similar program); describe what was learned in consultation with each program regarding their experience with student demand and job placement. Indicate how their experiences influenced your enrollment projections.

As described above, there are no UNC institutions offering an undergraduate program similar to the Agroecology and Sustainable Food Systems major proposed here. We have included the enrollment data for the Sustainable Agriculture (BS) majors from UC Davis and University of Kentucky in section 3c as a reference of growth and we have consulted with these programs about their challenges and successes. One of the critical needs emphasized by both programs is having a program recruiter specific to the program, which is the only need we have identified in this proposal.

We are confident the Agroecology and Sustainable Food Systems major proposed here will attract more students than just concertation program, similar to Appalachian State or what is at NC State currently. Students are looking for a strong foundation in agricultural sciences education with the focus on sustainability and a degree title that reflects this. Our projected enrollment was based on the other similar major programs from UC Davis and University Kentucky that reflect a similarity in curricula and degree titles.

Moreover we believe the associated internship, research opportunities and service learning and community engagement opportunities focused in sustainable agriculture and community food systems at NC State will be an additional attractant to recruit high school students and new students to the university.
b. **Identify opportunities for collaboration with institutions offering related degrees and discuss what steps have been or will be taken to actively pursue those opportunities where appropriate and advantageous.**

The Horticultural Science Department already has a 2+2 program that would serve as a model for transfer from related North Carolina community college programs listed below. Dr. Schroeder-Moreno currently serves on the Central Carolina Community College (Pittsboro) Sustainable Agriculture Program Advisory Board, which is the longest standing community college program in Sustainable Agriculture in North Carolina. Developing a transfer model for this program can serve as model for the other newly developed community college programs.

**North Carolina Community Colleges with Sustainable Agriculture Programs:**
- Central Carolina Community College (Pittsboro)- Sustainable Agriculture Associate Degree and Continuing Education program
- Craven Community College- Sustainable Agriculture Associate Degree
- Western Piedmont Community College -Sustainable Agriculture Associate Degree
- Wayne Community College- Applied Science Degree, Sustainable Agriculture Associate Degree

**c. Present evidence that establishment of this program would not create unnecessary program duplication.**

Since there is no similar Agroecology and Sustainable Food Systems major program like this offered by any UNC institution, establishment of the proposed program would not create any program duplication.

6. **Are there plans to offer all or a portion of this program to students off-campus or online?**

No. While there are some courses in the program that have online sections, there is no intention for this to be an online degree. The hands-on nature of the degree program cannot be supported adequately in an online format.

a. **Briefly describe these plans, including sites and method(s) of delivering instruction.**

NA

b. **Indicate any similar programs being offered off-campus or online in North Carolina by other institutions (public or private).**

We know of no degree programs similar to the Agroecology and Sustainable Food Systems degree with courses offered off-campus or online in North Carolina.

c. **What is the estimated percentage of courses in the degree program that will be offered/available off-campus or online:**

NA

d. **Estimate the number of off-campus or online students that would be enrolled in the first and fourth years of the program:**

| First Year Full-Time | 0 | Part-Time | 0 |
Note: If a degree program has not been approved by the Board of Governors, its approval for alternative, online, or distance delivery is conditioned upon BOG program approval. (400.1.1[R], page 3)

7. Estimate the total number of students that would be enrolled in the program during the first year of operation: Full-Time 15 Part-Time 0

Estimate the total number of students that would be enrolled in the program during the fourth year of operation: Full-Time 65 Part-Time 0

8. Will the proposed program require development of any new courses: Yes

If yes, briefly explain.

There are only two new courses proposed for this new major that include a 200 level Community Food Systems course and a 400 level (senior standing, major students only) Sustainable Food Systems capstone course.

The Community Food Systems course will be a foundational course co-developed between the departments of Crop and Soil Sciences (Schroeder-Moreno) and Horticultural Science (to be determined) that explores the multidisciplinary impacts of society, the environment, and local and global economics on food systems. We will seek GEP Interdisciplinary Perspectives and Global Knowledge status for this course. The Sustainable Food Systems capstone course will also be co-developed between the departments of Crop and Soil Sciences and Horticultural Science and will focus on integrating the diversity of knowledge and skills gained through previous courses and applied through work on food and agriculture related community engagement projects.

9. Will any of the resources listed below be required to deliver this program? (If yes, please briefly explain in the space below each item, state the estimated new dollars required at steady state after four years, and state the source of the new funding and resources required.)

   a. New Faculty: No

   b. Additional Library Resources: No

   c. Additional Facilities and Equipment: No

   Office space and general office equipment for the Program Assistant (see below) will be needed but this will not require new funding. This space and resources will be supported between the Department of Crop and Soil Science and the Department of Horticultural Science. The Program Assistant will be located in the Department of Crop and Soil Sciences but will work closely with Schroeder-Moreno and Kraus across both departments.

   d. Additional Other Program Support: Yes

      (for example, additional administrative staff, new Master’s program graduate student assistantships, etc.)

      A Program Assistant is necessary to develop critically needed recruitment and advertising specific for this new major program that would include new website materials, brochures and
visits and communications with high schools and community colleges across North Carolina. This program assistant would also help with the new program management to support the faculty taking on these new roles (Schroeder-Moreno and Kraus) as they already have administrative duties (Kraus directs the existing Horticultural Science undergraduate program), teach various undergraduate courses, and manage several research projects (Schroeder-Moreno).

10. **Does the program require enrollment growth funding in order to be implemented and sustained? If so, can the campus implement and sustain the program should enrollment growth funding be unavailable? Letters of commitment should be provided.**

No. While enrollment growth funding is desirable, the program could be established and sustained via reallocation of College and Department funds.

The College of Agriculture and Life Sciences (CALS) Academic Programs, the newly merged Department of Crop and Soil Science and the Department of Horticultural Science at NC State University recognize the importance of recruiting to support the Agroecology and Sustainable Food Systems major. We feel there is demand for this interdepartmental major, but realize that without recruiting and publicity, potential students will not know about its availability. All three units are committed to working together to fund, hire and support a part-time position or a portion of a full-time position to recruit for the proposed Agroecology and Sustainable Food Systems major.

11. **For graduate programs only:**

   Does the program require a tuition differential or program specific fee in order to be implemented and sustained?
   
   N/A

   a. If yes, state the amount of tuition differential or fee being considered, and give a brief justification. N/A

   b. Can the campus implement and sustain the program if the tuition differential or program fee is not approved? Letters of commitment should be provided.

12. **For doctoral programs only:**

   a. Describe the research and scholarly infrastructure in place (including faculty) to support the proposed program. N/A

   b. Describe the method of financing the proposed new program (including extramural research funding and other sources) and indicate the extent to which additional state funding may be required. N/A

   c. State the number, amount, and source of proposed graduate student stipends and related tuition benefits that will be required to initiate the program. N/A

13. **List the names, titles, e-mail addresses and telephone numbers of the person(s) responsible for planning the proposed program.**

   **Michelle Schroeder-Moreno**
   Associate Professor and Agroecology Program Coordinator
   Department of Crop and Soil Sciences,
   Phone: 919-513-0085
This request for authorization to plan a new program has been reviewed and approved by the appropriate campus committees and authorities.

Chancellor: ________________________________ Date: __________________

Email: michelle_schroeder@ncsu.edu

**Helen Kraus**  
Associate Professor and Undergraduate Coordinator  
Department of Horticultural Science  
Phone: 919-515-1208  
Email: helen_kraus@ncsu.edu
Second Memorandum of Agreement
Between Wake County Public School System
And North Carolina State University

This Second Agreement sets forth the parameters for the continued operation of the Wake STEM Early College High School (hereinafter “Wake STEM ECHS”), a highly supportive and academically challenging learning environment for students underserved in a traditional high school setting and underrepresented in the Science, Technology, Engineering, and Mathematics disciplines.

The parties to this Agreement are Wake County Board of Education (“School Board”) and North Carolina State University (“NC State”). The parties intend that the Wake STEM ECHS will be a distinct entity with its own students and programs. NC State is a statutorily created constituent institution of the University of North Carolina system. Wake STEM ECHS is not a department, division or unit of NC State. The two entities shall maintain their separate legal identities and programs. The parties intend to align both talent and resources as appropriate and as practicable to promote the Wake STEM ECHS mission. The parties’ relationship will be governed by UNC Policy 400.6.1[R], as that regulation may be from time to time revised and is incorporated herein by reference. In the event of any conflict between this Agreement and the UNC Policy, the terms and provisions of the UNC Policy shall govern.

1. TERM.
   a. Second Term. This Agreement is effective for five years, until June 30, 2021, unless terminated earlier as provided herein (“Second Term”). The parties are committed to securing additional funding to support Wake STEM ECHS continued operations. The parties understand that extension and renewal is dependent upon and subject to the availability of funds for this purpose.

2. SCHOOL BOARD’S DUTIES.
   a. General Operations.
      i. Wake STEM ECHS shall be a public high school under the authority of the School Board. All federal, state and local laws applicable to public high schools shall be applicable to Wake STEM ECHS.
      ii. All federal, state, local and School Board requirements for public high schools shall be complied with and shall be the responsibility of the School Board for every Wake STEM ECHS student, including but not limited to, curriculum; instructional calendar; transportation; provision of textbooks and related materials, physical education instruction, provision of meals, and provision of health services including counseling; compliance with all laws and regulations governing the education of students with disabilities; compliance with federal laws governing privacy of student records; and compliance with state laws governing the health and safety of minors and student discipline.
      iii. In addition, the School Board shall pay any applicable instructional, incidental and other fees charged by NC State to its regularly enrolled students, consistent with the UNC Policy 400.6.1[R] and as applicable. These fees apply only to students enrolled in university courses on a prorated basis. The current fees applicable to the Wake STEM ECHS students who would enroll in university courses are the Education and Technology fee, the campus security fee, and ID card fee.
      iv. The Wake STEM ECHS will enroll a sufficient number of students such that it is a recognized high school by the North Carolina Department of Public Instruction (hereafter “DPI”) provided that the head count may be modified by DPI upon recommendation of the School Board not to exceed 250 students at its full capacity without the express mutual written consent of all parties to this Agreement.
v. Wake STEM ECHS shall provide instruction each school year for at least 180 days during 10 calendar months.
vi. Wake STEM ECHS shall operate in accordance with the school calendar set by the School Board. The School Board agrees to annually, or as necessary, seek a waiver from the DPI allowing it to adopt a calendar for Wake STEM ECHS that aligns with the NC State calendar.

b. Management and Oversight.

i. The School Board shall appoint and employ a principal, who shall have executive authority over the high school programs and activities. The School Board or its designee will select and supervise qualified and certified teachers to provide the courses for the high school curriculum and programs. The School Board is responsible for the compensation of the principal, teachers, and high school staff of Wake STEM ECHS. The individuals occupying these positions are employees of the School Board, not NC State or the UNC System. NC State will offer and provide, for consultation during annual reviews, input regarding the job performance of the principal to the appropriate WCPSS supervisor related to the management of joint programmatic operations of the Wake STEM ECHS. Similarly, the School Board or its designee will offer and provide input into the evaluations of the NC State Liaison with regard to joint programmatic operations. The School Board is responsible for all instructional and office supplies and equipment for the principal, teachers, counselors, and high school staff. Any supplies or equipment provided for Wake STEM ECHS by the School Board will remain the property of the School Board.

ii. Day-to-day management of Wake STEM ECHS and decision-making authority with regard to programmatic operational issues shall be vested with the principal of the School, subject to the advice and consent of the Superintendent and the School Board. Should any such issues directly and substantially affect NC State, the principal shall consult with the NC State Liaison.

iii. Policy decisions with respect to the Wake STEM ECHS shall be made by the School Board. Should any such issues directly and substantially affect NC State, the School Board or its designee will consult with the NC State Liaison.

iv. The School Board and the Wake STEM ECHS administrator(s) shall be responsible for ensuring compliance with restrictions on internet access at the Wake STEM ECHS site as required for public schools in North Carolina.

c. Facilities. All NC State University facilities will remain under the control of NC State. All students, faculty and staff of the Wake STEM ECHS must abide by NC State policies and regulations relating to their occupancy and use of its campus and facilities as well as those restrictions or requirements contained in this Agreement.

d. Curriculum and Instruction. The School Board shall ensure that all students enrolled in Wake STEM ECHS are provided with courses to meet the minimum course requirements for admission to the UNC System; provided that upon recommendation of the School Board these requirements may be waived by the UNC Board of Governors.

e. Communication. The School Board Liaison will be responsible for communication and collaboration with the NC State Liaison pursuant to this Agreement.

3. NC STATE DUTIES.

a. Facilities.

i. Wake STEM ECHS will operate on property owned, leased, controlled or managed by NC State. NC State has provided sufficient classroom and related space for the use of Wake STEM ECHS for the high school academic programs. The total renovated space for the ECHS is 12,796 SF in the Cherry Building located on NC State’s Centennial Campus. Any future or additional space requirements shall be negotiated with NC State in a separate agreement (see, e.g. NC State’s standard facility use agreement). NC State reserves the
right to relocate Wake STEM ECHS to space of similar size and condition throughout the Term of this Agreement with reasonable notice.

ii. NC State shall ensure that the Wake STEM ECHS facility is outfitted with all appropriate utilities, including trash services, water, electricity, heating, air conditioning, telephone, and internet service. NC State is responsible for the installation of all utilities and for all ongoing facility maintenance and repairs of the Wake STEM ECHS facility. The School Board shall be responsible for paying the ongoing costs of the provided utilities based on actual billings from the public utilities to the Cherry Building for electrical, natural gas, storm water, water and sewer. Should additional users be added to the Cherry Building, these costs will be prorated on a square footage basis. The School Board is also responsible for providing and paying for parking for ECHS staff, furnishings, equipment, security/alarms system and instructional supplies and materials, and for any property damage caused by its employees or students, ongoing costs of communications, connectivity, and operations (in addition to other fees and costs identified in this Agreement). Should the School Board determine that the NC State standard voice/data service is not acceptable, the School Board will be responsible for the cost of customization needed to satisfy its requirements. The School Board shall be responsible for paying for the ongoing cost of custodial services as provided by NC State, which will be based on a fixed annual cost determined by the service levels required by the School Board.

iii. The School Board acknowledges, agrees and understands that it is consideration for NC State’s performance under this Agreement that NC State’s renovation of the Cherry Building is for the sole and exclusive use by the School Board for the purpose of operating the STEM ECHS in the facility as contemplated by the Initial Agreement between the parties. NC State shall provide Wake STEM ECHS students limited and controlled access to NC State facilities, including the University Libraries, provided the students are monitored and supervised by Wake STEM ECHS staff and/or faculty. There will be no access to residence halls, unmonitored internet access sites, any space where alcohol is available or any location identified by NC State to be unsuitable for high school students or their programs. Monitoring of the Wake STEM ECHS students’ compliance with access to NC State facilities and internet access shall be the responsibility of the Wake STEM ECHS.

iv. NC State shall be responsible for providing facilities that are ADA and OSHA compliant. The School Board may not make any alterations, change, improvements or additions to the Wake STEM ECHS facility without the prior written approval of NC State.

b. Instruction and Oversight.

i. NC State will provide selected university level courses for student enrolled in the Wake STEM ECHS. These courses will be taught by NC State faculty. NC State shall be fully responsible for the compensation of any NC State faculty whose classes include Wake STEM ECHS students. Prior to enrolling in a university-level course, students must demonstrate readiness to succeed in these courses. Representatives of NC State and the Wake STEM ECHS will confer and agree on measures of readiness and performance to be reviewed prior to enrollment in a university-level course.

ii. NC State shall appoint a NC State Liaison. NC State shall be responsible for the hiring of the NC State Liaison position and paying the employee’s salary and standard benefits as provided to other NC State employees.

iii. The principal of Wake STEM ECHS shall participate in the hiring of this position and in the annual evaluations.

c. Faculty and Faculty Development.

i. NC State may provide requested consultative services and professional development opportunities to Wake STEM ECHS faculty as time and resources permit.
ii. NC State will provide Wake STEM ECHS faculty and administrator(s) with an array of information technology tools as well as access to NC State email accounts, file storage, file sharing capabilities, and library resources.

d. Confidentiality of Student Information.
   i. The parties agree that all student records obtained in the course of performing this Agreement shall be subject to the confidentiality, disclosure, and re-disclosure provisions of applicable federal and state statutes and regulations, and in accordance with School Board Policy 6300. All Wake STEM ECHS student records and any required access log shall be maintained by the School Board. NC State shall maintain student records for courses taken at the university. NC State considers the School Board and officials of Wake STEM ECHS as “school officials” for purposes of the Family Educational Rights and Privacy Act (FERPA).

4. SELECTION OF STUDENTS.
   a. Applicants to the Wake STEM ECHS must complete an application developed by representatives of the parties. This application must contain the campus safety questions required by the UNC General Administration for all enrolled students.
   b. Selection of students for the Wake STEM ECHS must be made by the School Board. The School Board will seek input from an admissions committee that includes representatives of NC State and WCPSS, including Wake STEM ECHS staff. The selection process will include consideration of academic credentials, disciplinary records, potential for successful completion of high school requirements, potential for successful completion of university course requirements, and other appropriate criteria established by the admissions committee.
   c. All public inquiries regarding admissions, programs or operations of the Wake STEM ECHS shall be referred to the appropriate WCPSS administrator and/or its public relations office with timely notification of such inquiries or public information releases to the NC State Liaison.
   d. Performance criteria for admission and for transfer of credits to NC State are established by NC State for all applicants. Wake STEM ECHS students meeting those criteria will be considered for admission to NC State and for transfer of credits to complete the baccalaureate degree.

5. Wake STEM ECHS students will be identified and tracked in the NC State student database and will be placed in a unique category for ECHS students as established by the Board of Governors of the UNC System.

6. STUDENT BEHAVIOR AND DISCIPLINE.
   a. Students may be disciplined or dismissed by Wake STEM ECHS or the School Board for violation of School Board or school rules or regulations. NC State may not reject such disciplinary decisions or determinations; however, Wake STEM ECHS or its principal may consult with and seek advice from pertinent NC State officials prior to making these decisions. Students may also be disciplined or dismissed by NC State from the Wake STEM ECHS for violation or federal or state laws or NC State policies and regulations. Neither the principal nor the School Board of Education may reject these disciplinary decisions or determinations, but NC State may seek their advice prior to making these decisions.
   b. While using NC State facilities or property or attending NC State classes, the Wake STEM ECHS students, faculty, and staff shall comply with all state and local laws, applicable NC State regulations, policies and Code of Student Conduct. Failure to follow these proscriptions will subject the individual to the disciplinary procedure of NC State and may result in the dismissal from Wake STEM ECHS. The School Board will adopt any rules necessary to its governance of the school; the parties expressly agree, however, that those rules shall not be inconsistent with those in force and applicable to Wake STEM ECHS while at NC State.
   c. Enrollment in NC State courses as part of the Wake STEM ECHS program is contingent upon enrollment in Wake STEM ECHS. A student suspended from Wake STEM ECHS may
not attend NC State courses during the suspension from Wake STEM ECHS, unless NC State in its sole discretion makes an exception.

7. **TUITION and FEES.**
   
The School Board, through funding provided by the DPI or from other sources, must pay NC State tuition, educational and technology fee, ID card fee, campus security fee, and book costs and the cost of delivering university level courses to ECHS students for all Wake STEM ECHS students enrolled in NC State courses. (Note: NC State will not charge for the “cost of delivery” which is the amount derived by running the college level student credit hours through the UNC enrollment change model, unless legislation changes to allow for such charges. Notwithstanding the above, the cost of delivery shall not be charged for any university level course delivered prior to the first full school year occurring 90 days after the effective date of the change in the law authorizing such charges.) NC State will invoice the School Board for tuition and fees.

If the School Board funds the purchase of textbooks for students enrolled in college-level courses at the school, such textbooks shall remain the property of the School Board. The School Board shall also provide textbooks for students enrolled in high school courses at the School. These textbooks shall also remain property of the School Board. The School Board shall also purchase all laboratory materials necessary for students enrolled in college-level and/or high school courses.

8. **LIABILITY.**
   
The School Board (including the Wake STEM ECHS) and NC State are each responsible for the negligence or intentional harm caused by its agents or employees; however, nothing in this section shall be construed to waive any defense of sovereign immunity which might otherwise be available to the School Board and NC State or the UNC School Board of Governors; provided further that nothing in this section shall be construed to limit the rights of the Attorney General of North Carolina to bring claims for or to defend claims against NC State. Nothing in this Section shall be construed to waive any defense of sovereign immunity which might otherwise be available to the School Board. To the extent permitted by law, each party agrees to indemnify and hold harmless the other party from and against any and all liabilities and damages resulting from the use of the Wake STEM ECHS facility for these purposes, except when arising out of the indemnitee’s negligence or willful misconduct.

9. **CRIMINAL BACKGROUND CHECKS.**
   
NC State agrees to conduct criminal background checks on each NC State employee and independent contractor who will work, within the Wake STEM ECHS facility while students are in the Wake STEM ECHS facility. Such checks shall be completed prior to the employee or independent contractor beginning work in the Wake STEM ECHS facility and NC State will not allow any employee or independent contractor into the Wake STEM ECHS facility whose criminal background check is not free of criminal convictions that indicate that the individual poses a threat to the physical safety of students or School Board personnel. NC State agrees to conduct checks on the lists or registries currently specified in NCGS 115C-332.1 to determine if NC State employees working within the Wake STEM ECHS facility are on such lists or registries, and ensures that students, while within the Wake STEM ECHS facility will not have direct interaction with any NC State employees listed on such lists or registries. The parties acknowledge that pursuant to General Statute 14-208.18, it is unlawful for some persons required to register as a sex offender under North Carolina law to knowingly be within 300 feet of any location intended primarily for the use, care or supervision of minors, when the place is located on premises that are not intended primarily for the use, care, or supervision of minors. Violation of this statute is a felony.
10. NOTICE.
Any notice, consent or other communication in connection with this Agreement shall be in writing and may be delivered in person, by mail or by facsimile transmission (provided sender confirms notice by written copy). If hand-delivered, the notice shall be effective upon delivery. If by facsimile copy, the notice shall be effective when sent. If served by mail, the notice shall be effective three (3) business days after being deposited in the United States Postal Service, addressed appropriately to the intended recipient as follows:

If to the School Board: Superintendent
Wake County Public School System
Crossroads I
5625 Dillard Drive
Cary, NC 27518

If to NC State: Executive Vice Chancellor and Provost
NC State University
Campus Box 7101
Raleigh, NC 27695-7101

11. ENTIRE UNDERSTANDING.
This Agreement contains the final expression of the parties’ intent and the sole and entire understanding between the School Board and NC State. The parties agree that any statements, representatives, discussions, or documentation, whether made prior to or contemporaneously with the execution of this Agreement, have been merged into this Agreement and this Agreement fairly and comprehensively memorializes the final negotiated agreement between the parties. The Agreement shall not be modified or amended in any manner except in writing signed by both parties hereto. The Agreement may be renewed at the end of the Second Term specified upon such terms as the parties agree.

12. ADVERTISING.
Neither party shall identify the other, or refer to their accreditation status, in any promotional advertising or other promotional materials to be disseminated to the public or use the name of either party’s trademarks, service marks, symbol, nickname or logos of either party without the prior written consent of the other party, except to identify the locations and operations of the Wake STEM ECHS.

13. EXPENSES.
Except to the extent that this Agreement expressly provides otherwise, the parties to this Agreement shall bear their own respective expenses incurred in connection with the negotiation, preparation, execution, delivery, and performance of this Agreement and the consummation of any transaction it contemplates. This includes, without limitation, all fees and expenses of agents, representatives, counsel, and accountants.

14. TERMINATION.
Either party may terminate this Agreement upon 90 days written notice to the other party; provided, however, that if notice of termination is served during the Wake STEM ECHS academic year, the termination will not become effective until the day after the last day of the academic year. Should this Agreement be terminated it shall have no adverse effect upon the students already admitted to NC State after completion of the Wake STEM ECHS degree. No expiration or other termination of this Agreement shall relieve the School Board of its liabilities and obligations under section 8 and these liabilities and obligations of the School Board shall survive any such expiration or termination of this Agreement.
15. SEVERABILITY.
Unless otherwise expressly provided herein, the rights of the parties hereunder are several rights, not rights jointly held with each other or with any other party. Any invalidity, illegality or limitation of the enforceability of any party of this Agreement, whether arising by reason of law or otherwise, shall in no way affect or impair the validity, legality or enforceability of this Agreement in all other respects.

16. ASSIGNMENT.
This Agreement may not be assigned without written agreement of all parties, but if the same is assigned by agreement, it shall be binding on the assignee and his heirs.

17. GOVERNING LAW.
This Agreement and the rights and obligations of the parties hereto shall be governed by and construed and enforced in accordance with the laws of the State of North Carolina without regard to any principles of conflicts of laws that would make applicable the law of any other jurisdiction.

18. FORCE MAJEURE.
In the event that the performance of the obligations under this Agreement is prevented by reasons 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, 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.

19. BINDING.
All provisions of this Agreement shall be binding upon, and inure to the benefit of, and be enforceable by and against the parties, their respective heirs, representatives, successors, and assigns.

20. NO JOINT VENTURES.
This Agreement does not and shall not be considered to create a partnership or joint venture between NC State and the School Board. Neither party shall have the power to bind nor obligate the other except as expressly provided herein.

21. WAIVERS.
The terms of this Agreement may be waived only by a written instrument that is signed by the party that is making the waiver. A party’s delay in exercising any right, power, or privilege hereunder shall not operate as a waiver thereof. Nor shall a party’s waiver of any such right, power, or privilege, nor any single or partial exercise of any such right, power, or privilege, preclude any further exercise thereof or the exercise of any other right, power, or privilege.

James Merrill
Superintendent, Wake County Public School System

Date

W. Randolph Woodson
Chancellor, North Carolina State University

Date
James W. Owens  
Chair, North Carolina State University Board of Trustees  

\[\text{Signature}\]  
Date  

Tom Benton  
Chair, Wake County School Board of Education  

\[\text{Signature}\]  
Date  

This Agreement has been approved as required by the School Budget and Fiscal Control Act.  

\[\text{Signature}\]  
Mark Winters, WCPSS Finance Officer
**Historical Information:**


**Related Policies:**

- UNC Code Section 604 - Appointment, Nonreappointment and Requirements of Notice and Review
- UNC Code Section 607 - Faculty Grievance Committee for Constituent Institutions
- UNC Code Section 610 – Rights of Special Faculty Members
- UNC Policy Manual 101.3.1 – Review of Nonreappointment Decisions under Section 604 of The Code
- UNC Policy Manual 101.3.2 - Grievances Filed Pursuant to Section 607 of the Code
- NCSU REG05.25.04 - Faculty Grievance and Non-Reappointment Review Procedures
- NCSU POL01.05.08 - Faculty and EPHRA Non-Faculty Appeals to Board of Trustees
- NCSU POL04.25.05 - Equal Opportunity and Non-Discrimination Policy Statement
- NCSU REG 04.25.02 - Discrimination, Harassment and Retaliation Complaint Procedure
- NCSU POL05.35.01 - Mediation Policy and Procedure
- NCSU REG04.25.02 - Resolution Procedures for Discrimination, Harassment and Retaliation Complaints Procedure
- NCSU REG05.25.04 – Faculty Grievance and Non-Reappointment Review
- NCSU REG05.35.01 - Mediation Procedure for Faculty and Staff

**Additional References:**

- Section 604 Review Checklist
- Report of the 604 Review Committee
- 604 Faculty Review Flow Chart
- Section 607 Grievance Checklist
- Report of the 607 Grievance Committee
- 607 Faculty Grievance Flow Chart
- Official Record Checklist
- Review and Grievance Panel Workshop 2011

1. **INTRODUCTION**

The purpose of this policy is to provide an internal university process for the good faith resolution of employment-related grievances filed by faculty issues. Employment related grievances filed by faculty issues...
covered by the Code of the Board of Governors of the University of North Carolina (UNC) include (a) grievances in which a faculty member seeks redress concerning general employment-related actions including post-tenure review and denial of promotion (Section 607 of The Code) and (b) reviews of non-reappointment decisions of tenure-track faculty members “Section 604 reviews” in which a tenure track faculty member may seek review of a non-reappointment decision and (b) “Section 607 grievances” in which a faculty member may seek redress concerning other employment-related grievances including post tenure reviews. This policy is established to implements these UNC Code general requirements set forth in The Code, while NCSU REG 04.25.04 (Faculty Grievance and Non-Reappointment Review Procedures) establishes the procedures to be followed for a grievance or non-reappointment review including but not limited to the specific steps involved for the entire grievance or review process.

2. FACULTY GRIEVANCE/REVIEW COMMITTEE—GENERAL PROVISIONS FOR SECTION 604 REVIEWS AND SECTION 607 GRIEVANCES

2.1 Pre-filing meeting.

2.1.1 Prior to filing a petition for review (Section 604) or a grievance (Section 607), the faculty member shall meet with the responsible administrators (typically the Department Head and Dean) to attempt to resolve the issues giving rise to the review petition or grievance.

2.2 Mediation Alternative.

2.2.2 A faculty member may seek to resolve grievances in accordance with NCSU REG05.35.01—Mediation Procedure for Faculty and Staff as part of, or independent of, the grievance process. (See subsection 5.2 below.)

2.3 Claims of Discrimination.

2.3.1 If a faculty member claims violation of NCSU POL04.25.05—Equal Opportunity and Non-Discrimination Policy Statement as a basis for a review, the matter shall be referred to the NC State Office for Equal Opportunity (“OEO”) for consideration prior to the commencement of any hearing. (See subsection 5.3.)
2.4 Confidentiality.

2.4.1 State law makes personnel records confidential, and all participants in the review or grievance process must not disclose the information they acquire during the proceeding except as provided by law. Non-party witnesses must be excluded from the hearing except during their own testimony.

2.5 The 604/607 Committee.

2.5.1 Faculty Grievance/Review Committee Membership

There shall be a standing university committee elected by the General Faculty and designated as the Faculty 604/607 Grievance/Review Committee. Each college shall elect two (2) members of the General Faculty to serve; at least one member must be a tenured associate or full professor. The General Constituency shall elect two (2) members to serve. The 604/607 Faculty Grievance/Review Committee Committee shall include members from all professorial ranks and non-professorial faculty such as librarians, and may not include anyone with an administrative appointment. Committee members will be elected to an initial two-year term and may be eligible for re-election to an additional two-year term. After serving two consecutive terms, a faculty member can become eligible for re-election after a break of one year. Elections shall be held annually and the terms of the members shall be staggered. The timing of and procedures for elections shall coincide with the elections for the Faculty Senate. Members of the Faculty Grievance/Review Committee must complete annual training from the Office of General Counsel before serving on a grievance or review panel.

2.2 Faculty Grievance/Review Committee Chair

The Chancellor shall appoint the Chair of the 604/607 Faculty Grievance/Review Committee from the elected members after conferring with the Chair of the Faculty. For each petition or grievance filed, the 604/607 Committee shall be appointed for a two-year term; if the Chair is unable to complete the two-year term, the Chancellor shall confer with the Chair of the Faculty and appoint a new Faculty Grievance/Review Committee Chair from the Faculty Grievance/Review Committee to finish the term after conferring with the Chair of the Faculty. The Faculty Grievance/Review Committee Chair shall be responsible for appointing a sub-committee of the Faculty Grievance/Review Committee to serve on panels to hear faculty grievances or reviews. The Faculty Grievance/Review Committee Chair shall also be responsible for making an annual report to the Faculty Senate and the Chancellor concerning the review and grievance process. As necessary, the Faculty Grievance/Review Committee Chair may, in collaboration with the Faculty Senate Governance and Personnel Policy Committee, conduct a periodic review of the grievance and review process for the purpose of considering any proposed revisions to this policy or any accompanying regulations. Members of the 604/607 Committee shall receive annual training on procedures from the Office of General Counsel.
before serving on a panel. The Office of General Counsel shall assign an impartial attorney to provide procedural advice to each panel.

3. **SECTION 604 REVIEWS OF NON-REAPPOINTMENT DECISIONS (SECTION 604)**

3.1 Who May Seek Review.

3.1.1 Section 604 reviews of non-reappointment decisions (including a denial of tenure) pursuant to Section 604 of *The Code* may be sought by tenure-track faculty members ("Non-Reappointment Review") are limited to non-reappointment decisions with respect to tenure-track faculty (including a denial of tenure). The faculty member who seeks review of a non-reappointment decision—a Non-Reappointment Review is the "petitioner."

3.1.2 What May Be Reviewed: Grounds for Non-reappointment Review

3.2.1 A Section 604 Non-reappointment review may proceed only on the grounds that the non-reappointment decision was based on one or more of the following:

- 3.2.1.1 The procedures followed to reach the decision materially deviated from prescribed procedures such that doubt is cast on the integrity of the decision not to reappoint;

- 3.2.1.2 The exercise by the faculty member of rights guaranteed by the First Amendment to the United States Constitution, or by Article I of the North Carolina Constitution;

- 3.2.1.3 Discrimination as defined and prohibited by NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy); or

- 3.2.1.4 Personal malice, which

  - 3.2.1.4a The term “personal malice” means dislike, animosity, ill-will, or hatred based on personal characteristics, traits or circumstances of an individual that are not relevant to valid university decision making.

3.23 Filing a Section 604 Petition for a Non-reappointment Review.

3.3.1 A petition for a Non-reappointment Review must be filed within sixty (60) calendar days of notice of the non-reappointment decision and must state the grounds for the petition—specifically, a statement of the facts to support a claim that the non-reappointment decision was based on one or more of the above-listed grounds in section 3.1. Filing occurs when the petition is provided to the Chair of the Faculty. The petition must include...
3.3.2 The petition must include the following information:

3.3.2.1 A statement that the petitioner met with his or her department head and dean in an effort to resolve the matter, and the meeting was not successful.

3.3.2.2 The grounds for the petition, specifically, a statement of facts to support a claim that the non-reappointment decision was based on one or more of the above-listed grounds in paragraph section 3.1, above.

3.3.2.3 The name of the person who was responsible for the alleged improper decision; such person is called the “respondent.” The Provost is a respondent in all non-reappointment decisions, however, a Department Head and/or Dean may be named as a co-respondent if he/she materially contributed to the violation of rights alleged in the petition. Other persons may not be named as respondents unless all parties agree.

3.3.4 Purpose of the Non-reappointment Review.

3.4.1 The purpose of reviewing non-reappointment decisions is to determine if the decision resulted from one of the impermissible grounds set forth in subsection 3.1, above. The purpose is not to second-guess professional academic judgments based on permissible considerations. A Review Panel cannot reverse a non-reappointment decision; rather, it can only recommend a reassessment of that decision if, based on its findings and conclusions, the Panel concludes that the petitioner showed by a preponderance of the evidence that the non-reappointment decision was based on one or more of the impermissible grounds listed in section 3.1, the non-reappointment decision may be subject to reassessment.

4. SECTION 607 EMPLOYMENT RELATED GRIEVANCES (SECTION 607)

4.1 Who May Grieve.

4.1.1 Section 607 of The Code may be filed by any faculty member (“grievant”) during his/her employment at NC State (“Grievance”).[If the grievant is separated from employment while the grievance is pending, the grievance must be dismissed as being administratively closed.] The faculty member who seeks review of a decision that adversely affected his/her employment is the grievant. If the grievant is separated from employment while the grievance is pending, the grievance must be dismissed as being administratively closed.

4.1.2 If the grievant is separated from employment while the grievance is pending, the grievance must be dismissed unless the Chancellor in his/her discretion decides it is in the university’s best interest to allow the grievance to continue.

4.1.2 What May and May Not Be Grieved.
4.2.1. What May Be Grieved—General Grievances.

4.2.1.1 General Grievances are limited to matters directly related to a faculty member’s employment status and institutional relationship within NC State, provided that:

- The faculty member has been adversely affected in professional or academic capacity, and
- The adverse affect is due to an administrator’s decision(s) that is alleged to violate the law, or a university policy, regulation, or rule (PRR), or commonly shared understandings within the academic community about the rights, privileges and responsibilities attending university employment.

The administrator who made the decision that adversely affected the faculty member shall be the respondent.

4.2.2. What May Be Grieved—Post-Tenure Review Grievances.

4.2.2.1 A tenured faculty member may file a grievance for a post-tenure review decision on the grounds that the decision, with an overall finding of “does not meet expectations,” was based on one or more of the following same grounds as for a non-reappointment review (see above-listed bulleted items in section 3.1).

- The procedures followed to reach the decision materially deviated from prescribed procedures such that doubt is cast on the integrity of the post-tenure review decision; or
- The exercise by the faculty member of rights guaranteed by the First Amendment to the United States Constitution, or by Article I of the North Carolina Constitution; or
- The faculty member’s race, color, sex, religion, creed, national origin, age, disability, veteran’s status, genetic information, sexual orientation, or other forms of discrimination prohibited under policies adopted by campus Boards of Trustees; or
- Personal malice. The term “personal malice” means dislike, animosity, ill-will, or hatred based on personal characteristics, traits or circumstances of an individual that are not relevant to valid university decision-making.

4.2.2.2 The department head administrator who made the determination of an overall “does not meet expectations” for a faculty member’s post-tenure review will be the respondent in the post-tenure review grievance. Members of the post-tenure review committee may be called as witnesses by either the respondent or the grievant party.

4.2.3 What May Not Be Grieved:
4.2.3.1 Dissatisfaction with the general application of a university, college or department policy, regulation, or rule (PRR) challenged on the grounds that the PRR itself is unfair or inadvisable;

4.2.3.2 Non-renewal or non-extension of a contract upon expiration of an existing contract for non-tenure-track faculty;

4.2.3.3 Complaints, grievances or appeals that are subject to another university procedure or within the jurisdiction of another university committee, (e.g., research misconduct complaints, intellectual property determinations, campus police trespass appeals, Section 603 discharge or sanction cases, etc.).

4.2.3.4 Claims for compensatory or punitive damages that can be filed with the North Carolina Industrial Commission.

4.3 Status of Grievances Where Other Proceedings Are Pending.

4.3.1 If a grievant is named in a UNC Code Section 603 proceeding for discharge for cause or imposition of other serious sanction, the grievance will be dismissed if it relates to the Section 603 proceeding. If the grievance is unrelated to the Section 603 proceeding, it will be held in abeyance until the conclusion of the Section 603 proceeding. If the Section 603 proceeding results in discharge, the Section 607 grievance must be dismissed. If it does not result in discharge, the Section 607 grievance may proceed after the final decision at NC State in the Section 603 proceeding.

4.4 Filing a 607 Grievance.

4.4.1 A Grievance must be filed within sixty (60) calendar days from when the grievant knew or should have known of the decision being grieved. Filing occurs when the written grievance is provided to the Faculty Grievance/Review Chair of the Faculty and to the respondent administrator.

4.4.1.1 The grievance form must include the following:

4.4.1.1a A statement that the grievant met with the Department Head and Dean, or other responsible administrator, in an effort to resolve the matter, and the meeting was not successful.

4.4.1.1b The nature and grounds for the grievance, specifically, meaning a statement of facts to support a claim that the administrator’s decision:

- **For (general grievances):** General Grievances, violated the law, or a university policy, regulation, or rule (PRR) and how the decision adversely affected the grievant’s rights under particular laws or policies, and how the grievant has been adversely affected; or

- **For (Post-Tenure Review grievances):** was based on one or more of the same grounds as for a non-reappointment review (see above-listed bulleted items in section 3.1)
4.4.1.1c The Grievance must also include the name of the person(s) administrator responsible for the alleged improper decision. Such person is called the “respondent.” However, persons may be named as respondents only if they were active and substantial participants in the decision being grieved. Lastly, the form must include the redress or relief sought.

4.4.1.1d The redress sought.

4.5 Purpose of the 607 Grievance.

4.5.1 The purpose of a Grievance (grievances) is to determine whether the grievant has been adversely affected by an administrative decision that violates his or her rights under subsection 4.2.1 or 4.2.2 above. For post-tenure review Grievances, the purpose is not to second-guess professional academic judgments based on permissible considerations.

4.5 Non-Grievable Matters.

Issues or actions that are not grievable under this policy include:

- Dissatisfaction with the general application of a university, college or departmental policy, regulation, or rule (PRR);

- Non-renewal or non-extension of an existing fixed term appointment for non-tenure track faculty upon expiration of the term; and

- Complaints, grievances or appeals that are subject to another university procedure or within the jurisdiction of another university committee, (e.g., research misconduct complaints, intellectual property determinations, campus police trespass appeals, Section 603 discharge or sanction cases, etc.).

4.6 Grievances (Section 607) and Discharge/Imposition of Serious Sanctions (Section 603) of The Code

If a grievant is named in a proceeding pursuant to Section 603 of The Code for discharge for cause or imposition of other serious sanction, the grievance will be dismissed if it relates to the Section 603 proceeding. If the grievance is unrelated to the Section 603 proceeding, it will be held in abeyance until the conclusion of the Section 603 proceeding. If the Section 603 proceeding results in discharge, the Section 607 grievance will be dismissed. If the Section 603 proceeding does not result in discharge, the Section 607 grievance may proceed.

5. PROCEDURES FOR GRIEVANCES (Section 607) AND NON-REAPPOINTMENT REVIEWS (Section 604)

The procedures for Grievances and Non-Reappointment Reviews—including the specific steps in those processes—are contained in this policy’s companion regulation, NCSU REG 04.25.04 (Faculty Grievance and Non-Reappointment Review Procedures). Faculty members interested in pursuing a petition for a Non-Reappointment Review or a grievance should refer to that regulation.
5.4 Forming the Review Panel or Grievance Panel.

5.4.1 Unless the matter is resolved under subsection 5.2 or 5.3 above, the Chair of the Faculty shall direct the Chair of the 604/607 Committee to form a sub-committee for each case. The sub-committee shall be called the “Review Panel” (for Section 604 reviews) or the “Grievance Panel” (for Section 607 grievances). Each panel shall be selected from members of the 604/607 Committee, and shall consist of three (3) members plus a non-voting Chair.

6. REVIEW OR GRIEVANCE PANEL CHAIR

6.1 The Chair of the Review or Grievance Panel shall determine all procedures for the review or grievance process, unless otherwise indicated in this policy. The Chair shall set the schedule for the review or grievance proceeding, and the order of presentation at the hearing. The Chair is responsible for logistics (e.g., reserving a room and obtaining a court reporter). The Chair is responsible for maintaining all records of the review or grievance proceeding, for compiling the official record to transmit to the Chancellor, and for writing a report of the Review or Grievance Panel’s recommended findings and conclusions for transmission to the Chancellor.

7. REVIEW OR GRIEVANCE PANEL

7.1 Jurisdiction.

7.1.1 The first action of the Review or Grievance Panel shall be to determine if the petition or grievance was filed on time and if it has stated proper grounds. The Review or Grievance Panel may ask the parties for more information about timeliness and the grounds for the petition or grievance, but shall endeavor to make a decision regarding jurisdiction within five (5) business days after the next regularly scheduled meeting of the standing 604/607 Committee. If the Review or Grievance Panel determines that it has jurisdiction over some or all the petition or grievance, the matter proceeds to hearing. If the Review or Grievance Panel determines the matter was not filed on time or has not stated proper grounds, then it shall submit the record of the proceeding and a report to the Chancellor recommending dismissal of the petition or grievance, with copies to the parties.

7.2 Role of the Review or Grievance Panel.

7.2.1 The Review or Grievance Panel is responsible for receiving relevant evidence, making findings of fact, and providing advice to the Chancellor on the merits of the faculty member’s allegations.

8. PROCEDURES FOR SECTION 604 REVIEWS AND SECTION 607 GRIEVANCE HEARINGS

8.1 Attorneys and Observers.

8.1.1 Each party may bring one observer to the hearing, provided the Chair of the Review or Grievance Panel has been notified in advance as set out below. If there are multiple respondents, each may bring
one observer. Observers may be attorneys; however, observers may not participate in the hearing and attorney representation before the Review or Grievance Panel is not allowed. Observers may not be witnesses for a party.

8.2 Respondent Statement and Exchange of Exhibits and Witness Lists.

8.2.1 If the Review or Grievance Panel determines there is jurisdiction and the matter should proceed to hearing, it shall so notify the parties (petitioner or grievant and respondent(s)). The notice shall also require the respondent(s) to file a written response to the petition or grievance, including a brief statement of facts for each element of the petition or grievance that the respondent denies, and the name of any observer for the respondent. This response must be provided to the Chair of the Review or Grievance Panel and the petitioner or grievant within five (5) business days of respondent’s receipt of the Panel’s decision on jurisdiction.

8.2.2 The Chair of the Review or Grievance Panel shall require the parties to exchange witness lists and copies of exhibits the parties wish to introduce as evidence, and the committee chair shall specify that the exchange occur a certain number of days in advance of the hearing, with a copy to be provided to the Chair. The Chair may not share the exhibits with the other members of the Panel, but may make sufficient copies for the court reporter and other Panel members in the event the exhibits are offered and accepted into evidence at the hearing.

8.3 Evidence.

8.3.1 The Chair of the Review or Grievance Panel shall decide whether to exclude evidence (including testimony) if it is unduly repetitious, immaterial, irrelevant, or abusive. If evidence is offered by a party but excluded from consideration by the Chair of the Review or Grievance Panel, it must be preserved as part of the record for review.

8.3.2 Testimony must be recorded by reliable means such as a court reporter, and transcripts should be provided to the parties upon request as soon as available.

8.4 Ex parte communications are prohibited.

8.4.1 There may be no communications between Panel members and other persons involved in the review or grievance proceeding, regarding the subject matter of the review or grievance, except (1) in the hearing or in written documents (including email) copied to all parties, or (2) after the Panel issues its report to the Chancellor.

8.5 Prompt Hearing.

8.5.1 The Chair of the Review or Grievance Panel shall schedule the hearing as soon as possible after the exchange of witness lists and exhibits, allowing the parties at least three (3) business days after the exchange, but preferably no more than ten (10) business days. Timing of exhibit exchange and hearings may be extended where there is a good reason.

9. PANEL REPORT
9.1 Dismissals for Lack of Jurisdiction.

9.1.1 If the Review or Grievance Panel decides the petition or grievance was not filed on time or was not based on proper grounds, it shall proceed as set forth in subsection 7.1 above.

9.2 Cases that Proceed to Hearing.

9.2.1 The Review or Grievance Panel shall meet to deliberate after the hearing. It shall make findings of fact on the allegations presented in the petition or grievance and the responses thereto, make recommended conclusions on whether the petitioner has proven by the preponderance of the evidence that the non-reappointment decision resulted from improper grounds as set out in part 3.2 above (for Section 604 reviews) or whether the grievant has proven by the preponderance of the evidence that he/she has been aggrieved as set out in parts 4.2.1 or 4.2.2 above (for Section 607 grievances), and shall make recommendations to the Chancellor and/or appropriate administrator for resolution of the matter. The Review or Grievance Panel report shall be drafted by the Chair of the Review or Grievance Panel. Dissenting members of the Panel may file their own reports.

9.2.2 For Section 604 reviews, the Chair shall provide the official record and the Panel report to the Chancellor, and at the same time shall provide a copy of the report to the parties within 14 business days after the hearing.

9.2.3 For 607 grievances, the Chair shall provide a copy of the report to the parties and the administrator with the authority to make an adjustment based on the report, within 14 business days after the hearing. The Chair shall provide the official record and the Panel report to the Chancellor, and at the same time shall provide a copy of the report to the parties, if the responsible administrator has not accepted and acted upon the recommended adjustment within 14 business days of receiving the report.

### 106. CHANCELLOR’S DECISION

10.1 The Chancellor shall issue the final decision for any Non-Reappointment Review or Grievance if the matter proceeds to a Non-Reappointment Review or Grievance Panel. The Chancellor shall base his/her decision on his/her review of the official record and the panel report of the Review or Grievance Panel and his/her review of the record of the hearing. The Chancellor may, in his/her discretion, consult with the Review or Grievance Panel before making a decision. While the Chancellor should give appropriate deference to the advice of the Panel’s findings and recommendations of the Panel, the final campus-based decision is the Chancellor’s. The decision shall set out appeal rights if the decision is not in favor of the petitioner or grievant. The Chancellor’s decision shall be provided to the parties in writing with a method that provides documentation of delivery or attempted delivery within 60 days following receipt of the official record and panel report of the Review or Grievance Panel.

11.7.1 Section 604 Appeals of Chancellor’s Decision on Non-reappointment (Section 604).
11.17.1.1 A petitioner who wishes to appeal the Chancellor’s decision must file written notice of appeal with the UNC Board of Governors within ten (10) calendar days of receipt of the Chancellor’s decision by submitting such notice to the President of the University of North Carolina, by certified mail, return receipt requested, or by another means that provides proof of delivery, within ten (10) calendar days of receipt of the Chancellor’s decision.

11.17.1.2 Appeals may be made to the Board of Governors only on the following grounds: (a) the campus process or decision had material procedural errors, (b) the campus process or decision was clearly erroneous, or (c) the campus process or decision was contrary to controlling law or policy.

11.17.1.3 The notice of appeal should consist of a brief explanation of why the Chancellor’s decision is in error, consistent with the grounds for appeal noted immediately below. The President will notify the petitioner if the Board of Governors will consider the appeal, what additional documents may be required, and what additional procedures may apply.

11.17.2 Appeals of Chancellor’s Decision on Grievances (Section 607) Appeals.

11.17.2.1 If the Grievance Panel did not find that an adjustment in favor of the grievant was appropriate and the Chancellor upholds the Grievance Panel’s recommended decision, the Chancellor’s decision is final and may not be appealed. If the Grievance Panel did find that an adjustment in favor of the grievant the Grievance Panel’s recommended decision includes a suggested resolution, but the Chancellor’s decision does not find in favor of the grievant, was appropriate and neither the respondent nor the Chancellor made an adjustment recommended by the Panel in favor of the grievant, the grievant may appeal the Chancellor’s decision. Appeals shall be to the Board of Trustees, and shall be filed by submitting the written notice of appeal to the Chancellor, certified mail, return receipt requested, or by another means that provides proof of delivery, within ten (10) calendar days after receipt of the Chancellor’s decision. The notice of appeal should consist of a brief explanation of why the Chancellor’s decision is in error.

11.17.2.2 Grounds for an appeal are limited to showing that the Chancellor’s decision was clearly erroneous, that it violated applicable federal or state law or university policies or regulations, or that the process used in deciding the grievance was materially flawed.

11.17.2.3 The decision of the Board of Trustees shall be the final university decision. Any further review must be conducted pursuant to applicable law.

REPORT OF THE FACULTY GRIEVANCE/REVIEW COMMITTEE CHAIR
The Faculty Grievance/Review Committee Chair, together with the Chair of the Faculty, shall make an annual report to the Faculty Senate and the Chancellor concerning the Non-Reappointment Review and Grievance process. This report shall summarize, without disclosing specific details, the types of grievances considered, findings by categories and final administrative decisions. As necessary, the Faculty Grievance/Review Committee Chair shall convene a meeting of the Faculty Senate Governance and Personnel Policy Committee and the Faculty Grievance/Review Committee for the purpose of considering any proposed revisions to the Non-Reappointment Review and Grievance procedure for faculty.

121098. DELEGATION TO CHANCELLOR

121098.1- The Chancellor is authorized to establish regulations to implement this policy, provided the regulations are not inconsistent with the UNC Code or this policy. The Faculty Senate shall be consulted in the review of regulations associated with this policy.

121098.2- The Chancellor may grant exceptions to this policy in any case where following the policy would result in substantial unfairness (e.g., if the Chancellor has a conflict of interest, another decision-maker may be designated). Any such exception should be reported to the Board of Trustees, Chair of the Faculty, Faculty Grievance/Review Committee Chair of the 604/607 Committee, the Non-Reappointment Review/Grievance Panel Chair of the Review or Grievance Panel, and the parties.
History: First Issued: September 20, 1996. Last Revised: [date], 2016

Related Policies:
- UNC Code Section 604 - Appointment, Nonreappointment and Requirements of Notice and Review
- UNC Code Section 607 - Faculty Grievance Committee for Constituent Institutions
- UNC Code Section 610 – Rights of Special Faculty Members
- UNC Policy Manual 101.3.1 – Review of Nonreappointment Decisions under Section 604 of The Code
- UNC Policy Manual 101.3.2 - Grievances Filed Pursuant to Section 607 of the Code
- NCSU REG05.25.04 - Faculty Grievance and Non-Reappointment Review Procedures
- NCSU POL01.05.08 - Faculty and EHRA Non-Faculty Appeals to Board of Trustees
- NCSU POL04.25.05 - Equal Opportunity and Non-Discrimination Policy Statement
- NCSU REG 04.25.02 - Discrimination, Harassment and Retaliation Complaint Procedure
- NCSU POL05.35.01 - Mediation Policy and Procedure
- NCSU REG04.25.02 - Discrimination, Harassment and Retaliation Complaint Procedure

Additional References:

1. INTRODUCTION

The purpose of this policy is to provide an internal university process for the good faith resolution of employment-related faculty issues. Employment related faculty issues covered by the Code of the Board of Governors of the University of North Carolina (The Code) include (a) grievances in which a faculty member seeks redress concerning general employment-related actions including post-tenure review and denial of promotion (Section 607 of The Code) and (b) reviews of non-reappointment decisions of tenure-track faculty members (Section 604 of The Code). This policy implements the general requirements set forth in The Code, while NCSU REG 04.25.04 (Faculty Grievance and Non-Reappointment Review Procedures) establishes the procedures to be followed for a grievance or non-reappointment review including but not limited to the specific steps involved for the entire grievance or review process.
2. FACULTY GRIEVANCE/REVIEW COMMITTEE

2.1 Faculty Grievance/Review Committee Membership

There shall be a standing university committee elected by the General Faculty and designated as the Faculty Grievance/Review Committee. Each college shall elect two (2) members of the General Faculty to serve; at least one member must be a tenured associate or full professor. The General Constituency shall elect two (2) members to serve. The Faculty Grievance/Review Committee may not include anyone with an administrative appointment. Committee members will be elected to an initial two-year term and may be eligible for re-election to an additional two-year term. After serving two consecutive terms, a faculty member can become eligible for re-election after a break of one year. Elections shall be held annually and the terms of the members shall be staggered. The timing of and procedures for elections shall coincide with the elections for the Faculty Senate. Members of the Faculty Grievance/Review Committee must complete annual training from the Office of General Counsel before serving on a grievance or review panel.

2.2 Faculty Grievance/Review Committee Chair

The Chancellor shall appoint a chair of the Faculty Grievance/Review Committee from the elected members after conferring with the Chair of the Faculty. The Faculty Grievance/Review Committee Chair shall be appointed for a two-year term; if the Chair is unable to complete the two-year term, the Chancellor shall confer with the Chair of the Faculty and appoint a new Faculty Grievance/Review Committee Chair from the Faculty Grievance/Review Committee to finish the term. The Faculty Grievance/Review Committee Chair shall be responsible for appointing members from the Grievance/Review Committee to serve on panels to hear faculty grievances or reviews. The Faculty Grievance/Review Committee Chair shall also be responsible for making an annual report to the Faculty Senate and the Chancellor concerning the review and grievance process. As necessary, the Faculty Grievance/Review Committee Chair may, in collaboration with the Faculty Senate Governance and Personnel Policy Committee, conduct a periodic review of the grievance and review process for the purpose of considering any proposed revisions to this policy or any accompanying regulations.

3. REVIEWS OF NON-REAPPOINTMENT DECISIONS (SECTION 604)

Reviews of non-reappointment decisions (including a denial of tenure) pursuant to Section 604 of The Code may be sought by tenure-track faculty members (“Non-Reappointment Review”). The faculty member who seeks a Non-Reappointment Review is the petitioner.

3.1 Grounds for Non-reappointment Review

A Non-Reappointment Review may proceed only on the grounds that the non-reappointment decision was based on one or more of the following:

- The procedures followed to reach the decision materially deviated from prescribed procedures such that doubt is cast on the integrity of the decision not to reappoint;
The exercise by the faculty member of rights guaranteed by the First Amendment to the United States Constitution, or by Article I of the North Carolina Constitution;

Discrimination as defined and prohibited by NCSU POL 04.25.05 (Equal Opportunity and Non-Discrimination Policy); or

Personal malice, which is dislike, animosity, ill-will, or hatred based on personal characteristics, traits or circumstances of an individual that are not relevant to valid university decision making.

3.2 Filing a Petition for a Non-Reappointment Review

A petition for a Non-Reappointment Review must be filed within sixty (60) calendar days of notice of the non-reappointment decision and must state the grounds for the petition—specifically, a statement of the facts to support a claim that the non-reappointment decision was based on one or more of the above-listed grounds in section 3.1. The petition must include the grounds for the petition, specifically, a statement of facts to support a claim that the non-reappointment decision was based on one or more of the above-listed grounds in section 3.1.

3.3 Purpose of the Non-Reappointment Review.

The purpose of reviewing non-reappointment decisions is to determine if the decision resulted from one of the impermissible grounds set forth in section 3.1. The purpose is not to second guess professional academic judgments based on permissible considerations. A non-reappointment decision cannot be reversed as the result of a review, rather where the petitioner shows by a preponderance of the evidence that the non-reappointment decision was based on one or more of the impermissible grounds listed in section 3.1, the non-reappointment decision may be subject to reassessment.

4. EMPLOYMENT RELATED GRIEVANCES (SECTION 607)

Any faculty member may seek redress through an employment-related grievance pursuant to Section 607 of The Code during the faculty member’s employment at NC State (“Grievance”). The faculty member who seeks review of a decision that adversely affected his/her employment is the grievant. If the grievant is separated from employment while the grievance is pending, the grievance must be dismissed as being administratively closed.

4.1 General Grievances

General Grievances are limited to matters directly related to a faculty member’s employment status and institutional relationship within NC State, provided that:

- The faculty member has been adversely affected in professional or academic capacity, and
- The adverse action is due to an administrator’s decision that is alleged to violate the law, or a university policy, regulation, or rule (PRR).
The administrator who made the decision that adversely affected the faculty member shall be the respondent.

4.2 Post-Tenure Review Grievances

A tenured faculty member may file a Grievance for a post-tenure review decision with an overall finding of “does not meet expectations” based on one or more of the same grounds as for a non-reappointment review (see above-listed bulleted items in section 3.1).

The administrator who made the determination of an overall “does not meet expectations” for a faculty member’s post-tenure review will be the respondent in a post-tenure review grievance. Members of the post-tenure review committee may be called as witnesses by either party.

4.3 Filing a Grievance

A Grievance must be filed within sixty (60) calendar days of the alleged adverse action that is the basis of the Grievance. The Grievance must include the grounds for the Grievance, meaning a statement of facts to support a claim that an administrator’s decision:

- For General Grievances: violated the law, or a university policy, regulation, or rule (PRR) and how the decision adversely affected the grievant; or

- For Post-Tenure Review Grievances: was based on one or more of the same grounds as for a non-reappointment review (see above-listed bulleted items in section 3.1)

The Grievance must also include name of the administrator responsible for the alleged improper decision (the respondent). Persons may be named as respondents only if they were active and substantial participants in the decision being grieved. Lastly, the form must include the redress or relief sought.

4.4 Purpose of the Grievance

The purpose of a Grievance is to determine whether the grievant has been adversely affected by an administrative decision under section 4.1 or 4.2. For post-tenure review Grievances, the purpose is not to second guess professional academic judgments based on permissible considerations.

4.5 Non-Grievable Matters.

Issues or actions that are not grievable under this policy include:

- Dissatisfaction with the general application of a university, college or departmental policy, regulation, or rule (PRR);

- Non-renewal or non-extension of an existing fixed term appointment for non-tenure track faculty upon expiration of the term; and
• Complaints, grievances or appeals that are subject to another university procedure or within the jurisdiction of another university committee, (e.g., research misconduct complaints, intellectual property determinations, campus police trespass appeals, Section 603 discharge or sanction cases, etc.).

4.6 Grievances and Discharge/Imposition of Serious Sanctions (Section 603) of The Code

If a grievant is named in a proceeding pursuant to Section 603 of The Code for discharge for cause or imposition of other serious sanction, the Grievance will be dismissed if it relates to the Section 603 proceeding. If the Grievance is unrelated to the Section 603 proceeding, it will be held in abeyance until the conclusion of the Section 603 proceeding. If the Section 603 proceeding results in discharge, the Grievance will be dismissed. If the Section 603 proceeding does not result in discharge, Grievance may proceed.

5. PROCEDURES FOR GRIEVANCES AND NON-REAPPOINTMENT REVIEWS

The procedures for Grievances and Non-Reappointment Reviews—including the specific steps in those processes—are contained in this policy’s companion regulation, NCSU REG 04.25.04 (Faculty Grievance and Non-Reappointment Review Procedures). Faculty members interested in pursuing a petition for a Non-Reappointment Review or a Grievance should refer to that regulation.

6. CHANCELLOR’S DECISION

The Chancellor shall issue the final decision for any Non-Reappointment Review or Grievance if the matter proceeds to a Non-Reappointment Review or Grievance Panel. While the Chancellor should give appropriate deference to the Panel’s findings and recommendations, the final campus-based decision is the Chancellor’s.

7. REPORT OF THE FACULTY GRIEVANCE/REVIEW COMMITTEE CHAIR

The Faculty Grievance/Review Committee Chair, together with the Chair of the Faculty, shall make an annual report to the Faculty Senate and the Chancellor concerning the Non-Reappointment Review and Grievance process. This report shall summarize, without disclosing specific details, the types of grievances considered, findings by categories and final administrative decisions. As necessary, the Faculty Grievance/Review Committee Chair shall convene a meeting of the Faculty Senate Governance and Personnel Policy Committee and the Faculty Grievance/Review Committee for the purpose of considering any proposed revisions to the Non-Reappointment Review and Grievance procedure for faculty.

8. DELEGATION TO CHANCELLOR

8.1 The Chancellor is authorized to establish regulations to implement this policy, provided the regulations are consistent with the UNC Code or this policy. The Faculty Senate shall be consulted in the review of regulations associated with this policy.
8.2 The Chancellor may grant exceptions to this policy in any case where following the policy would result in substantial unfairness (e.g., if the Chancellor has a conflict of interest, another decision-maker may be designated). Any such exception should be reported to the Faculty Grievance/Review Committee Chair, the Non-Reappointment Review/Grievance Panel Chair, and the parties.
Management Flexibility Related Policies

**UNC Policy 600.3.4 – Granting of Management Flexibility to Appoint and Fix Compensation**

**NCSU Policy 04.25.05 - Equal Opportunity and Non-Discrimination Policy**

**NCSU Policy 05.15.03 – Non-Salary and Deferred Compensation**

**NCSU Policy 05.20.01 – Appointment, Reappointment, Promotion and Permanent Tenure**

**NCSU Policy 05.55.01 – Search and Selection Procedures for Senior Academic and Administrative Officers (Tier I)**

**NCSU Policy 01.05.01 - Board of Trustees (BOT) Bylaws, Appendix 1, Section V**

**NCSU Policy 05.20.02 – Emeritus/Emerita Status for Faculty and Senior Administrators**

**NCSU Regulation 01.20.01 - Delegation of Authority, section 4.2**
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<td>UNC-GA Chart on EPA Personnel Appointments and Position Establishment</td>
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<td>Appointment to a tenured position</td>
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<td>SALARY RANGES &amp; SALARY ADJUSTMENTS</td>
<td>Recommendation for a salary increase that would result in a salary that is both at least 15% and at least $10,000 above the previous June 30th salary</td>
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<td>Setting the initial compensation for faculty members with permanent tenure</td>
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<td>Recommendation for a salary increase that results in exceeding faculty salary ranges</td>
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1. Requires Dean, Director of Libraries, Vice Chancellor, Director of Athletics, Provost or Chancellor approval depending whose authority the employment falls under.
2. *All actions must be approved by BOT prior to being submitted to BOG for final approval.*

**The BOT has delegated authority to the Provost for salary increases less than 15% and $10,000 of the previous June 30th salary. Authority for increases greater than or equal to 15% and at least $10,000 above the previous June 30th salary have not been delegated by the BOT/BOG, except for those approved by the President of the UNC system and funded through the Faculty Recruitment and Retention Fund.**
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<td>Discontinuation of an <em>at will</em> adjunct faculty appointment</td>
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<td>Recommendation for a salary increase that would not result in a salary</td>
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* Requires Dean, Director of Libraries, Vice Chancellor, Director of Athletics, Provost or Chancellor approval depending whose authority the employment falls under.
** All actions must be approved by BOT prior to being submitted to BOG for final approval.
*** The Chancellor has delegated authority to the Deans/Vice Chancellors for salary increases less than 15% and $10,000 of the previous June 30th salary. Authority for increases greater than or equal to 15% and at least $10,000 above the previous June 30th salary have not been delegated by the BOT/BOG, except for those approved by the President of the UNC system and funded through the Faculty Recruitment and Retention Fund.
#### Delegation of Authority for Actions on: SENIOR ACADEMIC & ADMINISTRATIVE OFFICERS (SAAO)

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<td>Directors of major administration, education, research and public service activities (SAAO Tier I)</td>
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<td>Assistant and associate vice chancellors, assistant and associate provosts, and assistant and associate deans, etc. (SAAO Tier II)</td>
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<td>Positions responsible for administrative direction of separately designated divisions or departments commonly associated with institutions of higher education (SAAO Tier II)</td>
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<td>Positions who primary responsibility is to attract external funds for and/or market the University (SAAO Tier II)</td>
<td>X President</td>
<td></td>
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<tr>
<td></td>
<td>Other positions characterized by active, continuing involvement in formulating, interpreting, and implementing institutional policy and exercise of substantial independence of administrative authority and discretion in areas such as program planning and design and allocation of resources (SAAO Tier II)</td>
<td>X President</td>
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<tr>
<td>APPOINTMENT / REAPPOINTMENT</td>
<td>Appointment (but not tenure) and initial salary/promotion of a Dean (conferral of academic tenure requires BOT approval)</td>
<td>X Chancellor</td>
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<td></td>
<td>Appointment and initial salary/promotion of a Vice Chancellor</td>
<td>X Chancellor</td>
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<tr>
<td></td>
<td>Appointment or reappointment to an SAAO Tier II position</td>
<td>X Dean/Dir Libraries, Provost, Chancellor, or Chancellor</td>
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</tr>
<tr>
<td>DISCONTINUATION OF APPOINTMENT</td>
<td>Discontinuation of an “at will” EPA non-faculty appointment, including SAAO</td>
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<tr>
<td>CONFIRMATION OF EMERITUS STATUS</td>
<td>Conferral of emeritus status to an individual with an SAAO Tier I or Tier II appointment at retirement</td>
<td>X Chancellor</td>
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<tr>
<td>SALARY RANGES &amp; SALARY ADJUSTMENTS</td>
<td>Recommendation for a salary increase that would result in a salary that is at least 15% and at least $10,000 above the previous June 30 salary</td>
<td>X Tier II</td>
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<td></td>
<td>Recommendation for a salary increase that would result in a salary that is at least 10% and at least $10,000 above the previous June 30 salary</td>
<td>X Tier II</td>
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<td></td>
<td>Establishment of SAAO salary ranges</td>
<td>X Chancellor</td>
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<td>Recommendation for a salary increase that results in exceeding SAAO Tier I salary ranges</td>
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<td>Recommendation for a salary increase that results in exceeding SAAO Tier II salary ranges</td>
<td>X Chancellor</td>
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</tbody>
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*Requires Dean, Director of Libraries, Vice Chancellor, Director of Athletics, Provost or Chancellor approval depending whose authority the employment falls under.

**The BOT has delegated authority to the Provost/Vice Chancellor for salary increases less than 15% and $10,000 of the previous June 30th salary. Authority for increases greater than or equal to 15% and at least $10,000 above the previous June 30th salary have not been delegated by the BOT/BOG.*
### Delegation of Authority for Actions on:

**Academic Department Heads and EPA Professional (Non-Faculty)**

<table>
<thead>
<tr>
<th>Type of Action</th>
<th>ACTION</th>
<th>FINAL APPROVAL AUTHORITY</th>
<th>Notification Issued By</th>
<th>Guiding Policy - Source Documents</th>
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<tbody>
<tr>
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<td>Dean/Dir Libraries</td>
<td>Dir of Athletics</td>
<td>Vice Chancellor</td>
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<td><strong>ESTABLISH POSITION</strong></td>
<td>Instructional, Research, and Public Service (IRPS) EPA Professional (non-faculty)</td>
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<td></td>
<td>Physicians, Dentists, and Veterinarians</td>
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<td>X</td>
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<td><strong>APPOINTMENT / CONTRACT EXTENSION</strong></td>
<td>Appointment as an academic department head</td>
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<td></td>
<td>Appointment or contract extension as director of athletics</td>
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<tr>
<td></td>
<td>Appointment or contract extension as a head coach</td>
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<td>Appointment as an EPA Professional (non-faculty)</td>
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<td><strong>PROMOTION</strong></td>
<td>Promotion of an EPA Professional (non-faculty)</td>
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<td><strong>DISCONTINUATION</strong></td>
<td>Discontinuation of an ‘at will’ EPA Professional (non-faculty) appointment</td>
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<td></td>
</tr>
<tr>
<td><strong>SALARY RANGES &amp; SALARY ADJUSTMENTS</strong></td>
<td>Recommendation for a salary increase that would result in a salary that is both at least 15% and at least $10,000 above the previous June 30 salary*</td>
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<td>X</td>
<td>X</td>
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<td>Recommendation for a salary increase that would result in a salary that is both at least 15% and at least $10,000 above the previous June 30 salary</td>
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<td></td>
<td>Setting the initial compensation for EPA Professional (non-faculty)</td>
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<td>X</td>
</tr>
</tbody>
</table>

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* Requires Dean, Director of Libraries, Vice Chancellor, Director of Athletics, Provost or Chancellor approval depending on whose authority the employment falls under.
** All actions must be approved by BOT prior to being submitted to BOG for final approval.
*** The BOT has delegated authority to the Provost/Vice Chancellor for salary increases less than 15% and $10,000 of the previous June 30th salary. Authority for increases greater than or equal to 15% and at least $10,000 above the previous June 30th salary have not been delegated by the BOT/BOG.

*The Delegation of Authority Regulation can be found at: [http://www.ncsu.edu/policies/governance_admin/delegation_authority/REG01.20.1.php](http://www.ncsu.edu/policies/governance_admin/delegation_authority/REG01.20.1.php)*

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**Notification Issued By**

- Provost, Vice Chancellors, Deans, Dir Libraries, Dir Athletics or Chancellor
- Chancellor
- BOT
- BOG

**Guiding Policy - Source Documents**

- NC State PRR - Delegation of Authority, REG 01.20.01, section 3
- UNC-SA Chart on EPA Personnel Appointments and Position Establishment
- UNC-Policy Manual 1200.3
- UNC-Policy Manual 1100.3
- UNC-Policy Manual 600.3.4

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*Last revised 11/04/2014*
FACULTY SENATE UPDATE
The last report to the Board of Trustees was submitted on January 24, 2016. Since that time, the following topics have been discussed at the full Faculty Senate:

1. Results of the COACHE Faculty Satisfaction Survey (Nancy Whelchel and Katharine Stewart). Background: Senators requested that we hear the results of the COACHE Faculty Satisfaction Survey that was conducted in 2014/2015.

2. Enhancing Graduate Student Success (Dean Maureen Grasso). Background: Senators requested that we invite Dean Grasso to share information about Graduate Education.

3. Academic Analytics: Where is the university going with this? (Mary Lelik) Background: Senators have expressed concern about potential reliance on academic analytics and over-reliance on analytics in general.

4. The Full Senate and the Executive Committee discussed changing the title of "Secretary of the Faculty." Background: Women faculty have stated on more than one occasion that they would not run for "Secretary" because of the title. Secretaries for this century have all been either men or librarians (or both). The concern is that we may be missing out on providing leadership opportunities for women in the senate if they are not comfortable with the current title. After considerable discussion, a vote was taken and approved (22 yes, 1 no, and 0 abstentions) to change the title to Associate Chair of the faculty. Jeannette Moore will work with the Executive Committee to revise the bylaws.

Other updates:

5. A suggestion had been made at a Faculty Senate meeting to remove the word "Dixie" from the Alma Mater. The Executive Committee discussed this at length, and it was recognized that this is a Student/Alumni issue more so than a Faculty Senate issue. The decision was made to not proceed through the Faculty Senate Executive Committee with a recommendation.

6. Scott Douglass, the new Vice Chancellor for Finance & Administration, introduced himself and made comments at the February 23 Faculty Senate meeting.

The Spring General Faculty Meeting was held on March 1, 2016. The faculty presented a plaque to Chancellor and Mrs. Woodson with the text of the Resolution of Appreciation recognizing their very generous donation to start the scholarship program that will provide $2,000 annually toward NC State University tuition for all dependents of faculty and staff employed full time for 3 or more years. Following the presentation of the plaque, Chancellor and Mrs. Woodson received a standing ovation. The featured speaker for the meeting was Vice Chancellor and Dean Mike Mullen, who gave a big picture overview of DASA (Division of Academic and Student Affairs) and the new University College. The two candidates for Chair-Elect of the faculty (Drs. Carolyn Bird and Sheila Smith McKoy) introduced themselves and made statements after Dr. Mullen's presentation.
Items planned for discussion at the remaining two Faculty Senate meetings include:

- It was announced this week that DASA (Division of Academic and Student Affairs) plans to take over a considerable amount of space in the DH Hill Library; senators want to learn more about this plan.
- The Academic Policy Committee’s recommendations relative to UCCC (University Courses and Curricula Committee), CUE (Council on Undergraduate Education), and the General Education Program will be shared with the full Senate before Chair Moore forwards them to the Provost.
- The proposed new Drug and Alcohol Free Workplace regulation for NC State University employees is back at the committee level as of March 24; results of the March 29 committee discussion will be shared at the April 5 Faculty Senate meeting. There are still many contentious items in the proposed regulation.

For more information:
Agendas and all supporting materials are posted on the Faculty Senate website at:
http://www.ncsu.edu/faculty_senate/

Note: the web address for the Faculty Senate will change in May of 2016 as part of the security and other upgrades to the site. The three Faculty Senate committees are Governance and Personnel Policy (GovPP), Academic Policy (APC), and Resources and Environment (R&E); each discusses issues referred by the Faculty Senate Executive Committee (FS Exec), and the committee minutes are posted to the Faculty Senate website.

Respectfully Submitted by:
Jeannette A. Moore, Ph.D.
Professor of Animal Science and Alumni Distinguished Undergraduate Professor
Chair of the NC State University Faculty, 2015-2017
STAFF
SENATE
UPDATE
April 21, 2016

Honorable Trustees,

The NC State Staff Senate has been extremely busy discussing, addressing and resolving various staff concerns. Over the past several weeks we have passed several resolutions and have since forwarded them onto the Provost for review and response. Listed below are the resolutions/letter.

- **Staff Ombuds**: The Senate has received many concerns from staff across campus expressing the need for a Staff Ombuds person. Many staff have non-HR concerns and feel strongly that having an Ombuds, *like many other institutions of higher education have for their staff*, would be a wise step in the right direction by the university in showing support for staff. NC State currently has a Faculty and a Student Ombuds person.

- **Fair Wage Score Card**: The Executive committee has sent a letter in support of the UNC Staff Assembly’s letter to Interim President Gonzalez and now President Spellings addressing staff wages and leave. The letter asks her to address these concerns university wide.

- **Staff Diversity Director Position**: The current Director for Staff Diversity will be retiring in June and as of now, there are concerns that this position would not be funded in the future. The position went from 40 hours a week to 30 hours a week. This position has played a vital role in staff diversity initiatives as well as promoting education and events around the issues facing diversity and unrepresented groups on campus. The Senate strongly implores the university to continue this position in a full time capacity.

Several events occurred since my last presentation to this body.

- We have completed our nomination process and now are moving toward opening elections for new Senators for the terms (2016-2018). We have had a fair amount of responses and feel confident that we should be about to fill all the vacant seats.
- We are still in the process of amending our Bylaws and updating our Procedures Manual.
- The Staff Senate continued hosting a series of Lunch and Learn sessions across campus with topics of interest to staff.

Respectfully Submitted,

Wyona Goodwin
Chair, NC State Staff Senate
2015-2016
PROVOST UPDATE
MEMORANDUM OF AGREEMENT FOR DUAL DEGREE PARTNERSHIP
Collaborative Academic Agreement

Establishment of a dual degree with N.C. State University requires completion of this MOA and signatory approval by the Provost. In addition, SACSCOC must be notified 6 months prior to implementation of this agreement.

Complete the following:

I. N.C. State Participation:

Level of Degree: BS College Participating: COE Other Participating College(s): N/A

Full Title of Degree Conferred (Include concentration title if applicable): Bachelor of Science in Electrical Engineering

Name and contact information for the primary developer of Agreement: Alice Forgety, afforget@ncsu.edu,
Director of Recruiting, Enrollment Management & Educational Partnerships
College of Engineering
North Carolina State University
Campus Box 7094, 120 Page Hall
919-515-3263 (phone) 919-515-8702 (fax)

II. Participating Partner Institution: If multiple partners, complete separate form for each.

Name of Partner Institution: University of North Carolina Pembroke
Location of Institution: Pembroke, NC

Name and contact information for the primary developer of this Agreement (include address, phone, email, etc.)
Meredith Storms - Interim Dean, College of Arts and Sciences,
UNC Pembroke, NC PO Box 1510, Pembroke, NC 28372
meredith.storms@uncp.edu, 910.521.6427(phone) 910.521.6638(fax)

Level of Degree: BS or Enter text

Full Title of Degree Conferred (Include concentration title if applicable):
Bachelor of Science in Applied Physics

Partner Institution Accreditation Status: Category 1 - Accredited by SACSCOC

Other Accreditation, Licensure or Approving Body Information (Ex: ABET, EQUIS/EFMD, AACSB):
Enter text

Duration of Agreement: (Minimum 5 years. Unless otherwise specified – prior to end of 5th year, agreement must be approved for extension.)
At least 5 years

III. Timeline:

Proposed Start Date of Agreement: 8/15/2016

Expected Date for recruitment and advertising: 8/15/2016

Expected Date of student matriculation/enrollment in dual degree program: 8/15/2016
Date UNCP students start in the dual degree program: 8/15/2016

IV. Attachments:

In addition to this MOA, attach other applicable documentation and list each attachment/appendices below:
(ex: Memorandum of Understanding (broad agreement of partnership), prospectus (if substantive change))

Attachments Included:

Attachment I – Dual Degree Curriculum Plan UNCP-NCSU
Attachment II – Appendix J
Attachment III – Memorandum of Understanding - Articulation of Dual Degree Procedures
V. Collaborative Objectives:

1. **What is the purpose and benefits of the dual degree partnership?** Increasing access, diversity and enrollment in a STEM discipline at both institutions.

2. **What evidence of institutional/program comparability exists** (rankings, joint faculty research, publications, etc.)? UNC Pembroke’s BS in Physics is an excellent match academically for a dual degree with NCSU’s BS in Electrical Engineering. There are many curricular areas of commonality. UNCP does not offer a degree in engineering. This dual degree program would offer educational enrichment and enhanced career opportunities for the degree recipients.

3. **What are the areas of mutual interest? Past partnerships?** Increasing diversity and enrollment in a STEM discipline. No previous dual degree program was available through the College of Engineering.

4. **Provide a brief description of how this agreement advances the partner institution’s priorities?** It offers their students a viable path to an engineering degree at a local university. It may also increase enrollment and graduation rates in the discipline of physics.

5. **How does this agreement advance the mission of NC State University?** In addition to promoting good will and access, it advances diversity in the College of Engineering.

6. **How does this agreement advance the mission of the partnering College at NC State University?** It increases the academic and career opportunities for its students in engineering, a discipline to which they would not otherwise have had access.

VI. Administration:

1. **How was the proposed dual degree developed?** Describe the process by which NC State faculty worked with the partner faculty to plan program content, select courses, and choose mode of delivery.
   
   a. Staff from Engineering Academic Affairs worked directly with representatives from UNCP to develop the initial curriculum, taking into account the requirements for both degrees and also making sure to include the required engineering transfer courses for NCSU admission. A couple of iterations on the proposed curriculum ensured completion of all prerequisites and graduation requirements from both institutions were met.
   
   b. Alice Forgety and Cecilia Townsend worked out the Electrical Engineering Curriculum Plan ensuring all prerequisites and degree requirements were met.
   
   Cecilia Townsend – Coordinator of Undergraduate Programs, ECE department,
   
   Alice Forgety – Director of Educational Partnerships, College of Engineering Academic Affairs.

   c. We held a joint meeting on 10-7-15 at UNCP to hone details. NCSU representatives present at the meeting were as follows:
   
   Jerome Lavelle – Associate Dean of Academic Affairs, College of Engineering
   
   Alice Forgety – Director of Educational Partnerships, College of Engineering Academic Affairs.
   
   UNCP representatives present were:
   
   Meredith Storms - Interim Dean, College of Arts and Sciences
   
   Sivanandane Mandyjiny - Chair, Department of Chemistry and Physics
   
   Jose D’Arruda – Professor of Physics
   
   Elizabeth Normandy – Associate Vice Chancellor of Planning and Accreditation

2. **How will the proposed program be administered?** Include detail regarding each partner responsibilities related to administration, academic policy enforcement, logistics, and student recruitment, registration, admissions. Attach organizational chart if applicable.

   Students shall meet required transfer courses prior to admission into the College of Engineering and then apply to transfer to NCSU. Admission to the NCSU College of Engineering is dependent on GPA and the successful
completion of a set of required courses. Refer to the College of Engineering transfer website for a list of the current requirements: \url{http://www.engr.ncsu.edu/academics/undergrad/admission/transfer-admission}

To help assure the admission and academic success of participating students, University of North Carolina Pembroke and North Carolina State University agree to develop, maintain, and improve continuously program management and reporting as outlined below.

Each institution will:

1. Appoint a program coordinator to coordinate activities, monitor student progress, and evaluate the program.
2. Appoint an advisor for each participating student.
3. List the program in the appropriate publications of the institution.
4. Exchange regularly updated copies of its general catalogs and any other publications which may be helpful in advising students.
5. Exchange dual degree program forms and applications as appropriate.
6. Provide timely information about significant changes in the program of study that relate to the preparation of participating students.
7. Share monitoring information about newly admitted students and progress information about continuing students in the program.
8. Meet and discuss program activity at least once annually.
9. The program coordinators from each institution will assess the program annually in collaboration with participating faculty, advisors, and students to continuously improve the program.

3. **How will tuition and fees be coordinated?** Tuition and fees do not need to be coordinated in any special manner for students in this transfer program. When enrolled as UNCP students, they will pay UNCP tuition and fees. After transferring to NCSU, they will pay NCSU tuition and fees. For enrollment funding purposes, once students have transferred to NCSU, they will be counted at NCSU and are not to be counted at UNCP.

4. **Proposed NC State SIS code for designated students participating in dual degree.** (max 10 char) Enter text

   NDS until admitted. Once admitted: 14EEBS

**VII. NC State Policy Disclaimer for this agreement:**

"Students participating in this coordinated dual degree program will be subject to all applicable N.C. State University policies and regulations."

Yes

**VIII. Expected Annual Faculty/Student Participation:**

<table>
<thead>
<tr>
<th>N.C. State</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Year 5</th>
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<td>4</td>
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<td>Partner Institution</td>
<td>Year 1</td>
<td>Year 2</td>
<td>Year 3</td>
<td>Year 4</td>
<td>Year 5</td>
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**IX. CURRICULUM DESIGN:**

1. Provide an overview of how the degree requirements for each institution will be completed as part of this dual arrangement. Students will spend about 3 years at UNCP completing physics degree requirements and NCSU engineering minimum transfer admission requirements. They will then spend about 2 years at NCSU completing electrical engineering degree requirements as well physics course requirements met by courses which will transfer back to UNCP.

2. Provide list of NC State course requirements for degree and equivalency to related courses at Partner Institution. (Attach as semester-by-semester display of course requirements and provide a list of course requirements and equivalencies for the dual degree program): See Attachment 1, Dual Degree Curriculum Plan UNCP-NCSU.

3. Provide list of Partner Institution’s course requirements, analysis of course content, and equivalency to related courses at NC State. All UNCP courses have already been evaluated and are in the NCSU transfer equivalency database. Refer to http://www.engr.ncsu.edu/academics/undergrad/admission/transfer-admission.

4. Describe how and when transfer courses will be evaluated. Courses are already approved for transfer and in NCSU database.

5. If Thesis requirement, provide details (supervision/credit). N/A

6. What is the total percentage of courses taken at Partner Institution? 45%

7. What is the total percentage of courses taken at NC State? (For graduate programs at least 50% of hours and for undergraduate programs at least 25% must be taken at NC State) 55%

8. List the total number of degree hours required for completion of the N.C. State degree 122 and the total number of hours that will be accepted in transfer credit by N.C. State (Note: if exceeding the 12 hour transfer maximum for graduate programs, explain). 55

9. List the total number of degree hours required for completion of the Partner Institution’s degree 124 and the total number of hours that will be accepted in transfer credit by the Partner Institution. 30

10. Will the course credit from Partner Institution count toward NC State GPA calculation? (If yes, explain) No

11. To be eligible for a bachelor’s degree, a student must have earned at least 30 of the last 45 hours of course credit through NC State courses. If this requirement will not be met, please explain. Enter text

12. Describe other requirements. (residence, comprehensive exams, internships, language, etc) All NCSU degree requirements for a BS in EE will be met. All UNCP degree requirements for a BS in Physics will be met.

13. Provide list of courses that will be offered totally online and in hybrid format. Indicate the applicable format next to each course. None are needed.

14. Will NC State courses be offered at an off-campus site either through DE or face-to-face? If so, has the site been approved by SACS? No

**X. ASSESSMENT/MEASURABLE OUTCOMES:**

What are the measurable student learning outcomes for this academic arrangement and how will they be assessed? Note: Outcomes for the existing degree must be met in the dual degree arrangement. Provide any additional outcomes related to the academic collaborate arrangement
Agenda

There are no additional learning outcomes related to the collaborative agreement. The learning outcomes and assessment will be the same as those for any other NCSU students receiving a BS in electrical engineering. The outcomes include the following outcomes vetted by ABET accreditation and listed herein and at this link: http://www.abet.org/eac-criteria-2014-2015/:

(a) an ability to apply knowledge of mathematics, science, and engineering
(b) an ability to design and conduct experiments, as well as to analyze and interpret data
(c) an ability to design a system, component, or process to meet desired needs within realistic constraints such as economic, environmental, social, political, ethical, health and safety, manufacturability, and sustainability

(d) an ability to function on multidisciplinary teams
(e) an ability to identify, formulate, and solve engineering problems
(f) an understanding of professional and ethical responsibility
(g) an ability to communicate effectively
(h) the broad education necessary to understand the impact of engineering solutions in a global, economic, environmental, and societal context
(i) a recognition of the need for, and an ability to engage in life-long learning
(j) a knowledge of contemporary issues
(k) an ability to use the techniques, skills, and modern engineering tools necessary for engineering practice.

XI. FACULTY CREDENTIALS FROM THE PARTNER INSTITUTION:

Provide a list of the faculty directly involved in teaching courses as part of this program of study. Attach the CV for each. Not applicable: UNCP is SACS accredited. Their faculty have been vetted. NCSU already accepts all of the courses for transfer which will be used in this degree.

XII. INSTITUTIONAL COMMITMENT AND RESOURCES:

NC State University:
1. Provide description of NC State’s commitment to this academic arrangement. No additional funds or resources are needed. These students will be engineering transfer students who happen to be also receiving a degree from UNCP.
2. Provide detail regarding the funding for this arrangement (amount, source, duration). None needed.
3. Provide detail regarding facilities and space (amount, source, duration). None needed.
4. Provide detail regarding library resources (amount, source, duration). None needed.
5. Provide detail regarding equipment required for this arrangement. None needed.
6. Other: Enter text

Partner Institution:
1. Provide description of Partner’s commitment to this academic arrangement. No additional funds or resources are needed. These students will be UNCP physics students who transfer to NCSU and who will also be receiving both a degree from UNCP and NCSU.
2. Provide detail regarding the funding for this arrangement (amount, source, duration). None needed.
3. Provide detail regarding facilities and space (amount, source, duration). None needed.
4. Provide detail regarding library resources (amount, source, duration). None needed.
5. Provide detail regarding equipment required for this arrangement. None needed.
6. Provide detail regarding any institutional policy or practice that would prohibit student participation based on race, gender, ethnicity, or religion. N/A

7. Other: N/A

XIII. REVIEW SCHEDULE FOR AGREEMENT:

All agreements will be for a period of five years, unless otherwise specified. Prior to the end of the fifth year the agreement must be reviewed and re-approved if requesting an extension. Upon the scheduled review date, responses to review criteria will be required to be completed and provided to the university review committee. If the agreement will be discontinued, a teach-out plant will be required for those students remaining in the program.

As part of this agreement, specify the following:

What criteria will be used by the participating NC State College to determine whether the program should continue? The criteria for continuation of the dual degree program will be the same as that used to evaluate quality and productivity of all other NCSU academic undergraduate programs or partnerships at the time of review. NCSU will evaluate the program based on such qualities as enrollment, student success, and number of graduates.

In what year will this agreement be evaluated? 5 years from the date of final signature

XIV. SACSCOC disclaimer to be followed as part of this Agreement:

For agreements with Partner institutions that are not accredited by SACSCOC, the following disclaimer must be included in the Memorandum of Agreement and in any advertised postings by the Partner institution in compliance with SACSCOC procedures related to collaborative academic agreements. The NC State program coordinator for this agreement must monitor the Partner institution’s statements of relationship to ensure conformance with this disclaimer. In addition, 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.

Disclaimer Statement:

“North Carolina State University is accredited by the Southern Association of Colleges and Schools Commission on Colleges to award [state degree levels]. [Name of Partner institution] is not accredited by the Commission on Colleges and the accreditation of North Carolina State University does not extend to or include [name of Partner institution] or its students. Further, although North Carolina State University agrees to accept certain course-work from [Name of Partner institution] to be applied toward an award from North Carolina State University, that course-work may not be accepted by other colleges or universities in transfer, even if it appears on a transcript from North Carolina State University. The decision to accept course-work in transfer from any institution is made by the institution considering the acceptance of credits and course-work.”

7
XV. This agreement must follow the stipulations listed below to be in compliance with N.C. State and SACS policies:

- The SACSCOC disclaimer is included in this agreement and will be included in any marketing for this dual degree arrangement.
- This agreement requires at least 25% of the credits for an Undergraduate program and 50% for a Graduate program be awarded by N.C. State. Enter text
- The SACSCOC logo does not appear on this agreement and will not be used by the N.C. State or the Partner institution.
- The Partner institution will provide timely access to their materials, physical site(s), and personnel in conjunction with accreditation reviews, if requested.
- This agreement will be reviewed in 5 years from the date of final signature.

The signing of this agreement and any supporting documentation assures compliance with the requirements of this Memorandum of Agreement. Any changes will require approval by the signatories and other approval bodies as applicable.
Signatures – Memorandum of Agreement

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, NC - USA

For, and on behalf of,
University of North Carolina Pembroke
Pembroke, NC - USA

The signing of this agreement and any supporting documentation assures compliance with the requirements of this Memorandum of Agreement. Any changes will require approval by the signatories and other approval bodies as applicable.

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<thead>
<tr>
<th>NC State Signatures:</th>
<th>UNC Pembroke Signatures:</th>
</tr>
</thead>
<tbody>
<tr>
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<td>Department Head (sign above)</td>
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<tr>
<td>Date</td>
<td>Date</td>
</tr>
<tr>
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</tr>
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<td>College Course &amp; Curriculum Committee</td>
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<tr>
<td>Jerome P. Faville 2/18/16</td>
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<tr>
<td>College Dean</td>
<td>College Dean</td>
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<td>Date</td>
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### Proposed 3-PLUS-2 UNCP Applied Physics Curriculum Plan

**YEAR 1**

<table>
<thead>
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<td>PHY 2560 Modern Physics</td>
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<td>PHY 3000 Classical Mechanics</td>
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| PED 1010. Wellness and Fitness | 1 | PHY 3360 Mathematical Physics | 3 |

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<td>PHY 3260 Heat and Temperature</td>
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<td>PHY 4200 Advanced Lab I</td>
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<tr>
<th>TRANSFER CREDITS FROM NC STATE TO SATISFY FOLLOWING (20 cr hrs)</th>
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<tr>
<td>ECE 109 Intro to Computer Systems</td>
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<tr>
<td>E 115 Intro to Computing Environ</td>
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### Proposed 3-PLUS-2 NCSU Electrical Engineering Curriculum Plan

**SUMMER 1**

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**PLUS YEAR 1**

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<td>ECE 212 Fund of Logic Des</td>
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<td>ECE Foundation Elect</td>
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<tr>
<td>ENG 101</td>
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### Dual Degree Curriculum Plan - UNC Pembroke/ NC State

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<tr>
<td>ECE 383 Intro to Entrepreneurship</td>
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<td></td>
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**TOTAL MINIMUM CREDIT HOURS: 124 (104-UNCP plus 20-NCSU)**

**Notes:**
- NCSU requires 2 PE courses. One must be fitness/wellness course.
- CMA 101 or 1010, required to transfer as NCSU COM 110.
- Transfer GEP Corequisites: Global Knowledge, US diversity
- Transfer EC 201 (ECN 2020) at UNCP to fulfill Economics requirement
- NCSU requires foreign language proficiency

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<thead>
<tr>
<th>Includes Humanities</th>
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<td>Phys 205,206,208,209</td>
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<tr>
<td>Includes Add. Breadth</td>
<td>Science Elective, COM 110</td>
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<td>Includes PE/Health</td>
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**TOTAL MINIMUM CREDIT HOURS: 122 (68-NC STATE plus 55-UNCP)**

**Notes:**
- E 101 fulfilled by one hour of transferred Science Elective.
- COM 110 (CMA 1010) should be transferred from UNCP.
- Transfer GEP Corequisites: Global Knowledge, US diversity
- Transfer EC 201 (ECN 2020) at UNCP to fulfill Economics requirement
- NCSU requires foreign language proficiency.
APPENDIX J

UNIVERSITY OF NORTH CAROLINA

REQUEST FOR AUTHORIZATION TO PARTICIPATE IN AN
INTER-INSTITUTIONAL ARRANGEMENT

INSTRUCTIONS: Three copies are to be submitted to the General Administration prior to
implementation of an inter-institutional arrangement.

Date: October 12, 2015

Constituent Institution: University of North Carolina Pembroke (UNCP)

Constituent Institution: North Carolina State University (NCSU)

Proposed Title of the Inter-institutional Organization:

Physics-Engineering Dual-Degree Program between UNCP and NCSU

1. Describe the nature and purpose of the proposed inter-institutional arrangement.

The purpose of the proposed inter-institutional arrangement is to establish Dual Degree
programs of study between the University of North Carolina Pembroke (UNCP) and
North Carolina State University (NCSU). The dual degree programs will be:

B.S in Applied Physics from UNCP and B.S. in Electrical Engineering from
NCSU

2. Provide the name, location, and a description of the governance of the contracting
organizations (or those that will form the consortium) with information concerning
the accredited status of all parties involved.

UNCP and NCSU are two of the 16 constituent institutions that make up the multi-
campus University of North Carolina system of universities for the state of North
Carolina. UNCP is located in Pembroke, NC. NCSU is located in Raleigh, NC, about 105
miles from Pembroke.

The B.S. in Applied Physics degree program is offered by UNCP through its Department
of Chemistry & Physics in the College of Arts and Sciences. The B.S. in Electrical
Engineering is offered by NCSU through its Department of Electrical and Computer
Engineering in the College of Engineering. Both UNCP and NCSU are accredited by the
Southern Association of Colleges and Schools' Commission on Colleges (SACS). There is no accrediting body for the B.S. in Applied Physics degree program offered by UNCP. The Engineering Accreditation Commission (EAC) of the ABET accredits the B.S. in Electrical Engineering degree program offered by NCSU.

3. **Provide the rationale for entering into the contract or the consortium and an assessment of need. Indicate the extent of course sharing and the use of shared courses in degree programs.**

The proposed Dual Degree program builds upon the existing natural links between the two institutions as members of the UNC System. Presently students do transfer between the two institutions and many course equivalencies have already been mapped. This program is focused on creating a specific linkage between strategically important programs at each institution — namely the BS in Applied Physics program at UNCP and the Electrical Engineering program at NCSU. The proposed Dual Degree program will create a mechanism to recruit, admit and graduate students that does not exist today. It allows UNCP to offer recruited STEM-interested students a pathway to an engineering degree that would be more economically feasible. In addition, targeted students who desire both the environment and culture of the UNCP experience as well as a pathway to an engineering degree should find this option attractive. For NCSU, this program provides a mechanism to partner with a UNC sister institution in its recruitment of high engineering quality students — specifically advancing college goals related to access and diversity.

Under the Dual Degree format students would be first admitted to UNCP and attend for approximately three (3) academic years following a physics curriculum. After completing course requirements students would then transfer to and attend NCSU for approximately two (2) academic years following the electrical engineering curriculum. General education, science and mathematics course credits earned by students at UNCP will be transferred toward meeting degree requirements in engineering at NCSU. Conversely, engineering course credits earned by students at NCSU will transfer back to UNCP toward meeting the remaining degree requirements for physics. The Dual Degree program curriculum plan for Applied Physics at UNCP and Electrical Engineering at NCSU are presented in Attachment I.

The Dual Degree student will be eligible to apply for graduation from either or both institutions at any point in time as they meet necessary requirements for either or both degrees. After completing the academic requirements of both cooperating institutions, the student will have been awarded a B.S. Degree in Applied Physics from UNCP and a B.S. Degree in Electrical Engineering from NCSU.

4. **Provide a timetable for implementation of the contract/consortium.**

The proposed degree program builds on existing curriculum and an existing transfer pathway for students at the institutions. As such, we seek for approval for this program effective August 15, 2016.
5. **Describe administrative oversight over the quality of programs/services offered through the contract/consortium.**

The Dual Degree program curriculum plan for Applied Physics at UNCP and Electrical Engineering at NCSU presented in Attachment I represents a guide for course crediting for the undergraduate degree at the respective institutions. The University Registrar at each institution will utilize this document and the appropriate course transfer forms completed by the departmental advisors in crediting courses on the student’s transcript and to clear students to receive the respective degrees.

To insure the admission and academic success of participating students, UNCP and NCSU agree to develop, maintain, and improve continuously program management and reporting as outlined below.

**Each institution will:**

1. Appoint a program coordinator to coordinate activities, monitor student progress, and evaluate the program.

2. Appoint an advisor for each participating student

3. List the program in the appropriate publications of the institution

4. Exchange regularly updated copies of its general catalogs and any other publications which may be helpful in advising students

5. Exchange dual degree program forms and applications as appropriate

6. Provide timely information about significant changes in the program of study that relate to the preparation of participating students.

7. Share monitoring information about newly admitted students and progress information about continuing students in the program.

8. Meet and discuss program activity at least once annually

9. The program coordinators from each institution will assess the program annually in collaboration with participating faculty, advisors, and students to continuously improve the program.

6. **Identify resources required to support the conditions of the contract/consortium (financial resources, library/learning resources, physical facilities, equipment).**

The degree programs in this agreement at each institution already exist and no new or additional resources are required to support a 3-plus-2 Dual Degree program between UNCP and NCSU. Undergraduate Admissions at UNCP and at NCSU have the same minimum course requirements as all UNC System institutions.
7. Attach any charter or bylaws and a copy of the contract for programs/services or the consortial arrangement statement.

There are no special charter or bylaws and no special contract for program/services for this agreement.

8. Provide the name, title, and address of the person authorized to respond to any questions.

<table>
<thead>
<tr>
<th>University of North Carolina Pembroke</th>
<th>North Carolina State University</th>
</tr>
</thead>
<tbody>
<tr>
<td>PO Box 1510</td>
<td>Raleigh, NC 27695</td>
</tr>
<tr>
<td>Pembroke, NC 28372</td>
<td></td>
</tr>
<tr>
<td>Jose D’Arruda, Ph.D.</td>
<td>Cecilia Townsend</td>
</tr>
<tr>
<td>Professor of Physics</td>
<td>Coordinator of Advising and</td>
</tr>
<tr>
<td>email: <a href="mailto:jose.darruda@UNCP.edu">jose.darruda@UNCP.edu</a></td>
<td>Lecturer Electrical and</td>
</tr>
<tr>
<td>phone: 910-521-6423</td>
<td>Computer Engineering Dept.</td>
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<tr>
<td></td>
<td>email: <a href="mailto:cwt@ncsu.edu">cwt@ncsu.edu</a></td>
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<tr>
<td>Sivanadane Manjiny, Ph.D.</td>
<td>phone: 919-515-5087</td>
</tr>
<tr>
<td>Chair, Chemistry and Physics</td>
<td>Alice Forgety</td>
</tr>
<tr>
<td>Department</td>
<td>Director, Recruiting,</td>
</tr>
<tr>
<td>email: <a href="mailto:siva.manjiny@UNCP.edu">siva.manjiny@UNCP.edu</a></td>
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</tr>
<tr>
<td>phone: 910-521-6608</td>
<td>Educational Programs</td>
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<tr>
<td>Meredith Storms, Ph.D.</td>
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</tr>
<tr>
<td>Interim Dean</td>
<td>phone: 919-515-3263</td>
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<tr>
<td>College of Arts and Sciences</td>
<td>Jerome Lavelle, Ph.D.</td>
</tr>
<tr>
<td>email: <a href="mailto:meredith.storms@UNCP.edu">meredith.storms@UNCP.edu</a></td>
<td>Associate Dean of Academic</td>
</tr>
<tr>
<td>phone: 910-521-6427</td>
<td>Affairs College of Engineering</td>
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Memorandum of Understanding
Articulation of Dual Degree Procedures
BETWEEN UNIVERSITY OF NORTH CAROLINA PEMBROKE AND
NORTH CAROLINA STATE UNIVERSITY, COLLEGE OF ENGINEERING

This agreement ("Agreement") establishes an Agreement whereby an undergraduate student will attend the University of North Carolina Pembroke ("UNCP") for approximately three years and then attend North Carolina State University's ("NCSU") College of Engineering for approximately two years. After successful completion of the admission, transfer, and academic requirements of both institutions, as summarized below, the student will be awarded a Bachelor of Science degree in a discipline (listed below) from UNCP and a Bachelor of Science degree in a discipline (listed below) from NCSU.

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<thead>
<tr>
<th>BS from UNCP</th>
<th>BS from NCSU</th>
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<td>Electrical Engineering</td>
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<tr>
<td>Applied Physics</td>
<td>Mechanical Engineering</td>
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</table>

Admission to UNCP

1. Any student who meets the general admission requirements of UNCP is eligible to participate in this program. However preferences will be given to students with a strong background in mathematics and the sciences.

2. Students are encouraged to enroll in this program before the first semester of their freshman year; they should declare their UNCP major during their first semester at UNCP and choose as an advisor the Engineering Program Coordinator at UNCP.

3. Students who enroll into this program during or after their first semester at UNCP may have to extend their time to complete the two degrees. Alternative solutions to meeting the requirements of the program may be suggested by the Engineering Program Coordinator at UNCP.

4. Students can transfer from other colleges and universities into this program at UNCP and receive credit for the equivalent courses common to both the UNCP and NCSU curricula. The equivalencies will be determined and communicated to the student by the Engineering Program Coordinator at UNCP and the Coordinator of Transfer Programs at NCSU College of Engineering.
Transfer to North Carolina State University

1. Before applying for transfer admission to NCSU, participants in this program must take, including courses in which the student is currently enrolled (and including courses transferred to UNCP from other institutions, including NCSU), the following minimum number of semester hours at UNCP depending on the student's intended engineering degree:
   a. 55 hours at UNCP for Electrical Engineering
   b. 58 hours at UNCP for Mechanical Engineering

2. Note that the student must take 48 of the last 60 hours of the engineering major at NCSU.

3. Students must maintain a GPA of 3.0 or better at UNCP. Admission to NCSU College of Engineering is dependent on GPA and the successful completion of a set of required courses. (See the College of Engineering transfer website for a list of current minimum requirements: http://www.engr.ncsu.edu/academics/undergrad/admission/transfer-admission.

4. When a dual degree student is admitted to NCSU, the transcript from UNCP will be evaluated, and appropriate credit will be given toward the NCSU degree requirements. A current list of equivalent courses can be accessed online at the "NCSU Transferable Course List" at: https://www.acs.ncsu.edu/scripts/ugadmiss/trnsfcrs.pl.

5. The Engineering Program Coordinator at UNCP and the Coordinator of Transfer Programs at NCSU will remain in communication with one another regarding the evaluation of transfer courses. In order to maximize transfer credit, students must consult the Engineering Program Coordinator at UNCP on a regular basis to determine which courses are applicable to their intended NCSU engineering degree.

6. Students who are ready for an official transfer must complete an NCSU transfer application at: http://admissions.ncsu.edu/apply/.

Academic Program

1. To complete the program, students must take courses as required for graduation and for the chosen degrees in the UNCP and NCSU catalogs. The Engineering Program Coordinator at UNCP will assist the student in designing a five (5)-year plan to satisfy the requirements of both schools.

2. The student is responsible for making sure that courses taken to satisfy general education requirements at either UNCP or NCSU are approved for this purpose.
by both schools before taking the course. This approval will come from the Dean of the College of Arts & Sciences at UNCP and the Coordinator of Transfer Programs at NCSU. The Engineering Program Coordinator at UNCP will assist this process.

3. The Dean of the College of Arts & Sciences at UNCP shall approve courses taken at NCSU to satisfy UNCP general education requirements.

Program Management

1. If a student falls behind schedule, the selected program may be extended in time without including additional courses.

2. If any curriculum changes occur at either institution that could affect this program, such changes are to be resolved and incorporated into the program through consultation between the two institutions.

3. Any student admitted to NCSU who does not successfully complete or who elects not to complete the requirements for the NCSU degree will be eligible to complete the requirements for the Bachelor's degree declared at UNCP.

General Provisions

1. This Agreement will remain in effect for five (5) years from the date of signing, and is renewable thereafter for five-year terms subject to written mutual consent. Either party may terminate this Agreement by giving at least one (1) year notice in writing to the other party in advance of the termination date. It is, however, understood and agreed that any student already admitted to the Dual Degree Program at UNCP and specifically tracked for admission or already admitted to the NCSU portion of the program will be given the opportunity to complete such program, notwithstanding termination of this Agreement, so long as the student is and continues in good academic standing and is making progress toward completing the program and degree.

2. This Agreement is subject to change or modification by written mutual consent between the institutions.

3. Both institutions will provide timely access to their materials, physical site(s), and personnel in conjunction with accreditation reviews, if requested.
Signatures

IN WITNESS WHEREOF, the authorized representatives of the parties have executed this agreement on the date(s) indicated below:

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<th>For, and on behalf of,</th>
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<tbody>
<tr>
<td>North Carolina State University, Raleigh, NC - USA</td>
<td>University of North Carolina Pembroke, Pembroke, NC - USA</td>
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<td>Provost, UNC Pembroke</td>
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MEMORANDUM OF AGREEMENT FOR DUAL DEGREE PARTNERSHIP
Collaborative Academic Agreement

Establishment of a dual degree with N.C. State University requires completion of this MOA and signatory approval by the Provost. In addition, SACSCOC must be notified 6 months prior to implementation of this agreement.

Complete the following:

I. N.C. State Participation:

Level of Degree: BS  College Participating: COE  Other Participating College(s): N/A

Full Title of Degree Conferred (Include concentration title if applicable): Bachelor of Science in Mechanical Engineering

Name and contact information for the primary developer of Agreement: Alice Forgety, afforget@ncsu.edu,
Director of Recruiting, Enrollment Management & Educational Partnerships
College of Engineering
North Carolina State University
Campus Box 7094, 126 Page Hall
919-515-3263 (phone) 919-515-8702 (fax)

II. Participating Partner Institution: If multiple partners, complete separate form for each.

Name of Partner Institution: University of North Carolina Pembroke
Location of Institution: Pembroke, NC

Name and contact information for the primary developer of this Agreement (include address, phone, email, etc.)
Meredith Storms - Interim Dean, College of Arts and Sciences,
UNC Pembroke, NC PO Box 1510, Pembroke, NC 28372
meredith.storms@uncp.edu, 910.521.6427(phone) 910.521.6638(fax)

Level of Degree: BS or Enter text

Full Title of Degree Conferred (Include concentration title if applicable):
Bachelor of Science in Applied Physics

Partner Institution Accreditation Status: Category 1 - Accredited by SACSCOC

Other Accreditation, Licensure or Approving Body Information (Ex: ABET, EQUIS/EFMD, AACSB):
Enter text

Duration of Agreement: (Minimum 5 years. Unless otherwise specified – prior to end of 5th year, agreement must be approved for extension.)
At least 5 years

III. Timeline:

Proposed Start Date of Agreement: 8/15/2016
Expected Date for recruitment and advertising: 8/15/2016
Expected Date of student matriculation/enrollment in dual degree program: 8/15/2016
Date UNCP students start in the dual degree program: August 2016

IV. Attachments:

In addition to this MOA, attach other applicable documentation and list each attachment/appendices below:

(ex: Memorandum of Understanding (broad agreement of partnership), prospectus [if substantive change])

Attachments Included:

Attachment I – Dual Degree Curriculum Plan UNCP-NCSU
Attachment II – Appendix J
Attachment III – Memorandum of Understanding - Articulation of Dual Degree Procedures
MEMORANDUM OF AGREEMENT FOR DUAL DEGREE PARTNERSHIP
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College of Engineering
North Carolina State University
Campus Box 7094, 120 Page Hall
919-515-3263 (phone) 919-515-8702 (fax)

II. Participating Partner Institution: If multiple partners, complete separate form for each.

Name of Partner Institution: North Carolina Central University
Location of Institution: Durham, NC

Name and contact information for the primary developer of this Agreement (Include address, phone, email, etc.)
Caesar R. Jackson, PhD
Dean (Interim) School of Graduate Studies
North Carolina Central University
1801 Fayetteville Street
Durham, NC 27707
Office Phone: (919) 530-7396

Level of Degree: BS or Enter text

Full Title of Degree Conferred (Include concentration title if applicable):
Bachelor of Science in Physics

Partner Institution Accreditation Status: Category 1 - Accredited by SACSCOC

Other Accreditation, Licensure or Approving Body Information (Ex: ABET, EQUIS/EFMD, AACSB):
Enter text

Duration of Agreement: (Minimum 5 years. Unless otherwise specified – prior to end of 5th year, agreement must be approved for extension.)
At least 5 years

III. Timeline:

Proposed Start Date of Agreement: 8/1/2016
Expected Date for recruitment and advertising: 8/1/2016

Expected Date of student matriculation/enrollment in dual degree program: 8/15/2016

Date NCCU students start in the dual degree program: August 2016

**IV. Attachments:**

In addition to this MOA, attach other applicable documentation and **list** each attachment/appendices **below:**

*ex: Memorandum of Understanding (broad agreement of partnership), prospectus (if substantive change)*

**Attachments Included:**

Attachment I – Dual Degree Curriculum Plan NCCU-NCSU
Attachment II – Appendix J
Attachment III – Memorandum of Understanding - Articulation of Dual Degree Procedures
# N. C. State University
## Graduate Certificate Program Form

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### Projected Enrollment

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**Program Director:** Dr. Fredrick Semazzi

**Attachments:**

1. Graduate Certificate Proposal
2. Statement on Other Departments Likely to be Affected and Summary of Consultations with those Departments
Proposal for
Graduate Certificate in Climate Adaptation

Program Justification
The Department of Marine, Earth & Atmospheric Sciences at North Carolina State University wishes to establish a Graduate Certificate Program (GCP) in Climate Adaptation.

NCSU has a 31 credit, three-semester Professional Science Master’s degree program in Climate Change and Society (CCS). The CCS PSM is designed to provide training in the application of climate information to improve the performance of climate sensitive sectors in North Carolina and the Southeast Region. Examples of climate sensitive sectors include but are not limited to: agriculture, water resources, coastal infrastructure, disaster management and energy production. The majority of potential applicants for the CCS PSM are working professionals who are unable to attend courses on-campus due to workplace demands. Many professionals, including some who have inquired about the program, cannot afford personal leave for an extended period and may have limited resources to enroll in the full CCS PSM degree program. Such applicants, however, already have significant informal exposure to the need for climate information through their work, and they wish to attain further expertise and formal credentials in climate adaptation. The certificate is being created to meet the needs of these potential applicants. Internationally based students who require expertise in climate adaptation are also potential applicants to the certificate program. The Graduate Certificate in Climate Adaptation is purposefully designed to complement the CCS PSM degree program. It is anticipated that certificate students seeking further professional growth in the area of climate adaptation may, during the course of instruction, choose to apply for the degree program.

Program Objectives

The Graduate Certificate in Climate Adaptation is a twelve credit program consisting of four, three credit courses. The objective of the program is two-fold:

1. Prepare mid-career professionals with highly specialized, accredited training in the emerging field of climate adaptation, as well as enabling recent graduates from a variety of disciplines and backgrounds to obtain the knowledge and credentials they need to launch a career in this field.

2. Fulfill new demands from organizations and employers that require staff specializing in this field.
Graduate Catalog Description

The Graduate Certificate in Climate Adaptation program at NC State University provides accredited, academic training in the emerging field of climate adaptation. The online, twelve credit program is designed to provide mid-career professionals and entry-level students with technological skills and specialization in climate adaptation. The certificate is a fully accredited credential and a potential path toward the Climate Adaptation degree program. Coursework includes Fundamentals of Climate Change Science, Climate Risk Analysis, Climate Communication and Introduction to Geographic Information Systems.

Admission Requirements
Applicants must meet one of the 3 following requirements:
• Be a graduate of an accredited four-year college or university, and have a GPA of at least 3.0 on a 4-point scale in their last 60 credit hours of undergraduate study.
• Have a Master's degree.
• Be a degree student in good standing in a NC State University graduate program.

We recommend that students in a NC State University graduate program may apply after completing two of the courses required for the graduate certificate program with at least B grades. The graduate certificate program Director will manage the admissions process in consultation with the MEAS Director of Graduate Programs.

Provisional Admission
Applicants who do not meet the graduate certificate program requirements for full admission may be admitted provisionally based on the quality of their letters of recommendation and other criteria at the discretion of the Certificate Program Director and MEAS Director of Graduate Programs. Students who are admitted provisionally must maintain a 3.0 GPA in order to obtain full admission into the certificate program.

Program of Study
The graduate certificate requires a minimum of 12 hours, and includes the following courses:
• MEA 517 Fundamentals of Climate Change Science
• MEA 518 Climate Risk Analysis
· MEA 519 Barriers to Climate Change Literacy
· GIS 510 Introduction to Geographic Information Science

**Academic Performance**
1. Award of a Graduate Certificate requires a minimum overall GPA of 3.0.
2. None of the required 12 hours may be taken for S/U or "credit only".
3. No transfer credits from other institutions are allowed for the certificate.
4. All students must be registered through NC State University.
5. All Graduate Certificate requirements must be completed within the first four (4) calendar years beginning with the date the student begins the course work for the certificate.
6. All Graduate Certificate students are expected to maintain continuous enrollment every semester (excluding summer sessions) until all course work is completed. Under unusual circumstances, a one-semester leave of absence will be granted if the student is unable to enroll in a course. Written approval from the certificate Director must be obtained before the beginning of the semester.

**Application and Completion Processes**
1. An application for acceptance into a certificate program is required for all new applicants. The applicant must apply via the Graduate School application, found at [http://www.ncsu.edu/grad/applygrad.htm](http://www.ncsu.edu/grad/applygrad.htm).


3. New applications will be reviewed at the department/program level and new applicants will pay a $25 fee.

Each semester, students should consult the program web page or contact the Certificate Director to determine registration procedures, course availability and registration dates.

When all certificate coursework is satisfactorily completed, the student files an application to graduate through the MyPack Portal.
A student may obtain more than one graduate certificate in a different field. Each certificate must have at least nine (9) credit hours that are unique to it.

**Admission to other graduate programs**
Academic success might have a strong bearing on admission to other NCSU degree programs, but completion of the Climate Adaptation certificate program in no way
guarantees entry into a graduate degree program. Such admission is done through a separate application process.

**Responsibility for Administration and Resources**
This certificate program resides in the College of Sciences. It will be administered by the Director of Graduate Programs for the Department of Marine, Earth and Atmospheric Sciences in conjunction with the Certificate Director. The certificate program director will:

- Make all admission decisions to the certificate program in coordination with the MEAS Department Head and Director of Graduate Programs
- Notify the Dean of the Graduate School of the student's completion of certificate requirements.
- Update the program website and program listing as needed on University websites
- Coordinate the scheduling of courses
- Oversee development of courses
- Assess learning and programmatic outcomes
- Function as liaison with academic departments/colleges

Existing resources will be used to support the administration of this program.

**Program or Policy Changes for this Certificate**
Changes in the graduate certificate and related policies will be determined by the faculty and channeled through the appropriate college committees. Changes will be reported to the Graduate School.

**Outcomes Assessment Plan**
Graduates of the certificate program should be able to undertake or provide critical support in climate risk decision making as well as the design and implementation of climate change adaptation instruments and strategies for the private sector, government and NGOs.

<table>
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<tr>
<th>Outcome</th>
<th>Evidence</th>
<th>Source</th>
<th>When?</th>
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<tbody>
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<td>Analyze and interpret the results from climate data and impacts.</td>
<td>Selected questions from Final Exams from all four courses.</td>
<td>Student</td>
<td>At end of course semester</td>
</tr>
<tr>
<td>Demonstrate the skills to design adaptation strategies.</td>
<td>Selected questions from Final Exams from all four courses.</td>
<td>Student</td>
<td>At end of course semester</td>
</tr>
<tr>
<td>Apply the appropriate techniques in at least one specialized climate sensitive sector, such as agriculture, disaster resilience or coastal planning.</td>
<td>Presentation from Climate Risk Analysis capstone project.</td>
<td>Student</td>
<td>At end of certificate program</td>
</tr>
</tbody>
</table>
Attachment 1: Support Provided by DELTA Towards the Development of the CCS Certificate Program

**Program Leader**

Dr. Fredrick Semazzi  
Semazzi@ncsu.edu  
919-515-1434

**Introduction**

DELTA funded the development of DE versions for three Climate Change & Society Certificate courses (MEA 517, MEA 518 & MEA 519; course actions have been submitted and are under consideration for approval), a web-based marketing survey of the demand for the CCS Certificate, and development of a new website for the program. The funding was provided in 2 consecutive grants. The first grant (FY 2013-14; PI Fredrick Semazzi) was $49,192 and the second one (FY 2014-15; Fredrick Semazzi) was $122,091. The specific activities that were funded and accomplished under the DELTA grants are as follows:

1. Feasibility study and environmental analysis; Enrollment Planning; Marketing campaign; Strategic partnership development within the accredited online academic community.
2. CCS Program planning and curriculum development; Instructional design for the MEA 517 & MEA 518 courses; Video recording and production services; Technology training for instructional faculty.
3. Instructional design for the MEA 519 course; Video recording and production services; Technology training for instructional faculty.
4. Transfer of existing curriculum content to Moodle; implement online instructional computer adaptive testing in MEA 517 & MEA 518.

**Main outcomes from DELTA funding**

1. A positive recommendation to launch the certificate program from a report on the research performed by the University Professional and Continuing Education Association Center for Research and Consulting (UPCEA) Company. The consultation was paid for by DELTA funding about the potential market for the on-line CCS certificate program. The UPCEA research included an economic analysis as well as interviews with key
opinion leaders and experts. The research team collected and reviewed economic and demographic data from the Bureau of Labor Statistics (BLS) and Economic Modeling Specialists Intl (EMSI). The team interviewed twelve opinion leaders from industry, professional associations, higher education, and government. Those interviewed included senior management at various consulting firms, senior scientists and researchers, and association managers. An excerpt from the UPCEA recommendations follows: "... launch the online graduate certificate program in climate change and society targeting experienced workers in the environmental fields as well as city and regional planners and other business sustainability professionals. Several factors support this move. The competition is extremely low. The audience is geographically dispersed and employed full time. NCSU has a strong brand and competitive price point for in-state students where growth rates are even higher than the national average. The target audience is large and projected to grow at a high rate over the next decade and probably beyond...” The full 46-page UPCEA report is available upon request.

2. Submission of Course Action Forms for three courses (MEA 517, MEA 518 and MEA 519).
3. Submission of application for the approval of the CCS Certificate.

An extended summary of the proposal that was submitted to and funded committed by DELTA is provided below.
Attachment 2: Statement on Other Departments Likely to be Affected and Summary of Consultations with those Departments

Some of the consultation summarized below reflects comments on the individual course actions for MEA 517, 518, and 519, and some are relevant to the certificate program overall.

From Prof. Ross Meentemeyer, Chancellor's Faculty Excellence Program in Geospatial Analytics, Director, Center for Geospatial Analytics

Department of Forestry and Environmental Resources; College of Natural Resources: geospatial.ncsu.edu

"The GIS program will not be adversely affected by the Graduate Certificate in Climate Adaptation because the projected demand will not generate the need for any additional resources since the course is already being taught. Best wishes regarding the development of your new certificate. I look forward to seeing your students in our GIS classes."

From Prof. Ranji Ranjithan, Director of Graduate Programs, CCEE Dept, NC State University

Summary of Comments:
Both courses are relevant to our students and could be considered as potential electives. CE 517 overlaps slightly the CE 786 Hydroclimatology course, but it provides additional material on the fundamentals of climate science. CE 772 Environmental Exposure and Risk Analysis course may have some overlap but not in apparently significant manner; however, there should be acknowledgment of CE 772 as an existing course. The proposed MEA 518 has a different domain focus and perhaps may have a different methodological focus. CE 772 deals with the risk assessment methodology and paradigm related to quantification of risks to human health and ecological systems from exposure to contaminants in the environment. CE 772 doesn't seem to have much overlap with MEA 518 based on the description.

From Prof. Deanna Dannels (Associate Dean of Academic Affairs, CHASS):
"I have consulted with colleagues in the college and there are some concerns about duplication, specifically regarding the Climate Change Literacy and Messaging Strategies. In fact, I believe this consult came to the college prior to
my time as Associate Dean because some of the people I consulted with were familiar with it. Indeed, based on the prior consult, the course has been retitled to exclude the term communication, but the "messaging strategies" seems to have been appended to this as a substitute (which my colleagues still find a bit challenging given the focus on messaging) and the content of the course wasn't changed to articulate the focus on the science, rather than the communication.

To explain further, the explanation that is given for what differentiates this course from a current Climate Communication course seems is that "it provides students a coupled experience which includes theory related to the learning barriers to climate change and provides practical experience to better address these barriers among a variety of stakeholders." This seems very similar to what is done in the Climate Communication course. In addition, the CIM description states that "the epistemological, theoretical, and pedagogical perspectives for both courses are unique due to the foundational differences in the fields of science and communication." Most of the proposed course, though (three out of four modules) focuses on psychology and communication, so it is unclear how the courses is focused specifically on the scientific foundations, rather than the communicative or psychological foundations of learning barriers, stakeholder experience, etc. (which is what the COM course is set up to do)

In short-- as the course is written, there is duplication with our Climate Communication course which delves deeply into more of the communicative/social scientific issues related to climate change. Let me know if you have further questions about this-- I'm happy to talk (as is the department head of Communication, who I've consulted with on this particular course).

There does not seem to be significant issues that are arising for the other courses as they do not duplicate content/foundational material in courses such as Risk Communication, etc."

In response to consultation with Dean Dannels and Prof. Kenneth Zagacki, modifications to the content, and title, of MEA 519 have been made to amplify and clarify distinctions with offerings in CHASS.

From Prof. Ken Zagacki, Communications:

Deanna - I have reviewed the course action and as far as I can tell Karen has made all of my suggested changes. The one question I have concerns the Course Objectives/Goals statement, part of which reads: "To improve graduate students' knowledge and skills in understanding the barriers to climate literacy and in effectively communicating the associated uncertainty and variability through
exposure to the literature and practical experience talking to and developing products for multiple stakeholder groups." So that this statement is consistent with the "student learning outcomes," I recommend it be revised to read, "To improve graduate students' knowledge and skills in understanding the barriers to climate literacy and in effectively addressing information challenges associated with the concepts of uncertainty and variability. Students will achieve this learning outcome through exposure to the literature and practical experience talking to and developing products for multiple stakeholder groups."

Thanks,
Ken

Following this dialog, the final minor suggestion of Prof. Zagacki was made to the course action for MEA 519.
Employment of Related Persons (Anti-Nepotism Policy)  
UNC Policy 300.4.2

1. INTRODUCTION

1.1 The UNC Policy prohibits individuals who are related (or in relationships) from supervising each other or participating in decisions about each other’s compensation or employment.

1.2 As part of the University’s annual conflict-of-interest disclosure process, questions are included to identify employees at NC State who fell under this policy.

2. REPORT TO THE BOARD OF TRUSTEES

2.1 Consistent with the requirements of UNC Policy 300.4.2, Employment of Related Persons (Anti-Nepotism Policy), the Chancellor shall report annually to the Board of Trustees, at the regular meeting falling closest to the date of commencement, concerning all specific cases during the preceding year in which the terms of this policy were applied.

Annual Report 1/1/2015 through 12/31/2015
This report is to confirm that NC State did not have any reported situations out of compliance with the UNC Policy 300.4.2 for the 2015 calendar year.

Number of employees disclosing relations: 960
Number of incompletely managed relations: 0
Employment of Related Persons
(Anti-Nepotism Policy)

WHEREAS, decisions concerning the employment, evaluation, promotion and compensation of academic personnel should be based in every instance on considerations of individual merit, and

WHEREAS, favoritism based on family or personal relationships between employees derogates from the merit principle of employment, and

WHEREAS, the risk of occurrence of such favoritism can be avoided most effectively by the advance establishment of general restrictions against the creation of situations where such favoritism could be operative; and

WHEREAS, a common policy concerning the employment of related persons, applicable to personnel practices at all constituent institutions of the University of North Carolina, is desirable,

NOW, THEREFORE, the Board of Governors herewith adopts the following UNIVERSITY POLICY CONCERNING THE CONCURRENT EMPLOYMENT OF RELATED PERSONS:

A. Basic Principles

Consistent with the principle that University employees and prospective employees shall be evaluated on the basis of individual merit, without reference to considerations of race, sex, religion or national origin, or any other factors not involving personal professional qualifications and performance, the following restrictions, designed to avoid the possibility of favoritism based on family or personal relationship, shall be observed with respect to institutional personnel who are not subject to the State Personnel Act:

1. Related persons shall not serve concurrently within the institution in any case where one such related person would occupy a position having responsibility for the direct supervision of the other related person.

2. With respect to proposed employment decisions which would result in the concurrent service of related persons within the same academic department (or other comparable institutional subdivision of employment), a person related to an incumbent employee may not be employed if the professional qualifications of other candidates for the available position are demonstrably superior to those of the related person.

3. With respect to the concurrent service of related persons within the same academic department (or other comparable institutional subdivision of employment), neither related person shall be permitted, either individually or as a member of a faculty or as a member of a committee of a faculty, to participate in the evaluation of the other related person.

B. Definition of "Related Persons"

The following relationships are sufficiently immediate to invoke the prohibitions against concurrent service of related persons:

1. Parent or child.

2. Brothers and sisters

3. Grandparent and grandchild

4. Aunt and/or uncle and niece and/or nephew
5. First cousins
6. Stepparent and stepchild
7. Stepbrothers and stepsisters
8. Husband and wife
10. Brothers-in-law and sisters-in-law
11. Guardian and ward
12. Persons engaged in amorous relationships; an amorous relationship exists when, without the benefit of marriage, two persons voluntarily have a sexual union or are engaged in a romantic courtship (e.g., dating or engaged to be married) that may or may not have been consummated sexually.

C. Effective Date

The provisions of this policy shall be applicable prospectively only, with reference to appointments made after the adoption date of the policy.

D. Employees Subject to the State Personnel Act

With respect to University employees who are subject to the State Personnel Act, applicable restrictions concerning the concurrent service of related persons shall be those adopted by the State Personnel Board.

E. Each chancellor shall report annually to the Board of Trustees, at the regular meeting falling closest to the date of commencement, concerning all specific cases during the preceding year in which the terms of this policy were applied.
BOARD OF TRUSTEES
NORTH CAROLINA STATE UNIVERSITY
Nominating Committee
9:45 a.m., Thursday, April 21, 2016

Benjamin P. Jenkins III, Chair
(Goodnight, Murphy, Prestage)

AGENDA

CALL TO ORDER AND ETHICS STATEMENT

1. Review of Nominating Committee Guidelines
   Benjamin P. Jenkins III, Chair

2. Recommendations for Board Officers
   Chair
   First Vice Chair
   Second Vice Chair
   Secretary
   Assistant Secretary

3. Adjourn
NC STATE UNIVERSITY BOARD OF TRUSTEES
Nominating Committee Informational Materials and Guidelines

I. Duties of the Nominating Committee for Officers of the Board

Section 1.3.5 of the Bylaws of the Board of Trustees addresses the duties of the Nominating Committee:

1.3.5 “A Nominating Committee shall be appointed each year by the Chair and shall consist of not less than three nor more than five members of the Board. The Chair shall not serve as a member of the Nominating Committee. The Nominating committee shall be responsible for presenting a slate of nominees to the Board at its last meeting before the beginning of each University fiscal year. The slate of nominees shall contain at least one nominee for each of the offices of Chair, First Vice Chair, Second Vice Chair, and Secretary. The guidelines for the Nominating Committee are contained in Appendix I to these Bylaws.”

Section 1.2. addresses the officers of the Board and states:

1.2 Officers

1.2.1 At the first meeting after June 30 of each year, the Board of Trustees shall elect from its membership a Chair, a First Vice Chair, a Second Vice Chair, and a Secretary, each of whom shall serve for a term of one year and until a successor is elected. A Chair who is serving a second consecutive year as Chair is ineligible for reappointment as Chair until one year has elapsed from the end of the second consecutive year of service. If a vacancy occurs in any of these officers, the Board of Trustees shall elect a person to serve for the remainder of the unexpired term. These officers shall perform the duties prescribed by these Bylaws and by the parliamentary authority adopted by the Board of Trustees.

1.2.2 The Board of Trustees may also elect an Assistant Secretary, from among the members of the Chancellor’s staff as recommended by the Chancellor.

Copies of all minutes, papers and documents of the Board of Trustees may be certified by its Assistant Secretary with the same force and effect as though such certification were made by the Secretary of the Board.
II. Appendix I, Section VI, of Board Policy 01.05.10 provides the following Nominating Committee Guidelines concerning the procedures of the Committee:

Nominating Committee Guidelines

a) Select one or more nominees for Chair from Board of Trustee members in their second consecutive (and last) term of appointment.

b) Where possible, ensure that each nominee for Chair corresponds to the guideline of limited continuity of leadership: a term as Chair of at least two years. A Chair who is serving a second consecutive year as Chair is ineligible for reappointment as Chair until one year has elapsed from the end of the second consecutive year of service.

Current Slate of Trustees Officers (2015-2016):

Chair: James W. Owens
First Vice Chair: Jimmy D. Clark
Second Vice Chair: Thomas E. Cabaniss
Secretary: Ann B. Goodnight
Assistant Secretary: P.J. Teal
MEMORANDUM

TO: NC State Board of Trustees Nominating Committee
    Mr. Ben Jenkins, Chair
    Mrs. Ann Goodnight
    Mr. Wendell Murphy
    Dr. Ron Prestage

FROM: W. Randolph Woodson, Chancellor

SUBJECT: Assistant Secretary to the Board of Trustees

DATE: March 24, 2016

NC State Board of Trustees’ bylaws, section 1.2.2, state that the Board may elect an Assistant Secretary, from among the members of the Chancellor’s staff as recommended by the Chancellor.

Consistent with the Board’s request for my recommendation, I recommend that Ms. P.J. Teal continue to serve the Board as Assistant Secretary.

cc: Jim Owens, Chair of the Board
NC State University
Board of Visitors

Friday, April 8, 2016
8:30 a.m. – 12:00 p.m.
Hood Board Room, Dorothy and Roy Park Alumni Center

8:00 a.m. Continental Breakfast- Hood Board Room

8:30 a.m. Welcome and Remarks

Chuck Flink, Chair of the Board of Visitors

Campus Update

Randy Woodson, Chancellor

System Budget Priorities

Chancellor Woodson will discuss the upcoming legislative session and review legislative priorities for the UNC System and NC State.

Randy Woodson, Chancellor

Student Success and the Division of Academic and Student Affairs

DASA provides resources for all students that enriches their education and supports their successful journey towards their careers. This presentation will be an overview of the many types of programs, services, and resources that are provided to support students in and out of the classroom.

Mike Mullen, Vice Chancellor and Dean for the Division of Academic and Student Affairs

Break

University Campaign Update

Brian Sischo, Francine Cronin and Brad Bohlander will provide the Board with an overall update on the planning and implementation of the University's comprehensive fundraising campaign. Included in the presentation will be an update on fundraising progress to date, an overview of the volunteer leadership
structure, a preview of the campaign brand and identity, and a summary of the campaign kickoff celebration week's activities taking place October 23 - 30, 2016.

*Brian Sischo, Vice Chancellor for Advancement*

*Francine Cronin, Associate Vice Chancellor for Advancement*

*Brad Bohlander, Chief Communications Officer*

**Legislative Update**

*Representative Donny Lambeth, North Carolina House of Representatives*

**Adjournment**

*Chuck Flink, Chair of the Board of Visitors*

**Lunch- Chancellor’s Reception Room**

Deputy Athletics Director Michael Lipitz will join us to provide an update on the Reynolds renovation project.

*Micahel Lipitz, Deputy Athletics Director*

The next Board of Visitors Meeting is scheduled for October 7, 2016
SBP REPORT TO THE BOARD OF TRUSTEES
Full Board
April 22, 2016

National Initiatives

ASG/ACC Advocacy Days
Both the UNC Association of Student Governments and the ACC hosted advocacy days from March 14th - 15th, 2016 in Washington, DC. I met with student leaders from both UNC system schools and ACC schools to discuss issues facing our institutions and share best practices on how to effectively serve as a student leader. During the advocacy days, we were able to meet with the staff of both Senators and a number of Representatives.

Presidential Leadership Summit
The National Campus Leadership Council is hosting its 5th annual Presidential Leadership Summit in Washington, D.C. in late May. The summit is a conference for incoming and outgoing student body presidents and addresses important national issues such as campus sexual assault, college affordability, and mental health. Student Government will work with Paul Nolan to ensure NC State is represented at the summit.

Student Life and Campus Events

Pan-Afrikan Week
Pan-Afrikan week is an annual week of events that allow the NC State community to engage and interact with various programs centered on the education of the black diaspora. It is also an opportunity for students to learn about different cultures through events put on by organizations like African Student Union, Black Greek Letter Organizations, and Uninhibited Praise Gospel Choir. Pan-Afrikan week took place April 2nd - 9th, 2016.

Service Raleigh
Service Raleigh, created by Park Scholars and Student Government in 1998, is an annual, community-wide day of service. This year, Service Raleigh took place on April 9th, 2016 and offered participants a wealth of service opportunities.
Student Government Initiatives

Save The Seal
Student Government is working on a new initiative to prevent students from walking on the seal located on the floor of Talley Student Union, branded as “Save the Seal”. Over the past month, members of student government have been educating the general student body about this initiative in order to create a permanent tradition.

Town Hall Series
The Diversity Outreach Department of Student Government hosted a town hall on the racial climate of NC State on January 13th, 2016. Following the success of this event and the level of interest and involvement across the board, Student Government has decided to implement a Town Hall series in order to address multiple issues facing campus. Future Town Hall’s will focus on GLBT climate, religious climate, and student fees.

Traditions
Student Government has officially partnered with the Alumni Association Student Ambassador Program to transform The Brick, our comprehensive traditions guide for incoming students, into a mobile app. We are working to develop an online format of The Brick in order to reach more students, use less paper, and update our traditions.

With Wolfpack Pride,

Khari Cyrus
Student Body President, 2015-2016